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ABSTRACT

Intended to provide guidance on the organization of meetings on Universal Availability of Publications (UAP), this document draws on experience gained from a number of meetings already held. These meetings highlighted the nature and extent of problems associated with availability of publications, provided a forum for discussion, and proposed measures to improve the publication availability. Prepared in response to requests for assistance in planning such meetings, this text provides the program background, outlines the role of meetings on UAP, considers items that must be taken into account when planning meetings, details the format and content of meetings, and provides suggestions for evaluation and post-seminar activity. While circumstances differ from one country to another so that detailed interpretations vary, the basic framework upon which UAP depends is generally applicable. Appendices include: a list of reports on UAP; summaries of research on the UAP program; sample meeting agendas showing formats adopted in previous meetings; recommendations adopted at the UNESCO/IFLA (United Nations Educational, Scientific and Cultural Organization/International Federation of Library Associations) International Congress on UAP; and posters displayed at previous meetings. (THC)

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Guide to the organization of meetings on UAP

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GUIDE TO THE ORGANIZATION OF MEETINGS ON UAP

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- I Unesco. General Information Programme and UNISIST
- II IFLA International Office for UAP

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PREFACE

The aim of this document is to provide guidance on the organization of meetings on Universal Availability of Publications (UAP). A number of meetings have already taken place at various levels. Such meetings have sought to highlight the extent and nature of problems associated with poor availability, to provide a forum for discussion and to propose measures that might be adopted to improve the situation. This document draws on the experience gained.

The UAP programme, established by IFLA and supported by Unesco, requires a broad base of commitment and activity if progress is to be made. It must be built on national initiatives and the acceptance of national responsibilities.

Familiarity with the scale of the problem and methods of improvement is a prerequisite of development. To that extent national meetings on UAP are an essential step towards the development of effective and appropriate policies for action.

This work has been prepared in response to requests for assistance in planning such meetings. It provides background on the nature of the programme, outlines the role of meetings on UAP, considers various factors that must be taken into account when planning meetings on UAP, and gives detail on the format and content of meetings. While circumstances will vary significantly from one country to another, the basic elements upon which UAP depends remain the same and the framework put forward will be generally applicable, though detailed interpretation may vary. Those seeking greater detail on particular aspects are referred to the summaries of research reports in Appendix 2 and to the original publications listed in Appendix 1.

Unesco's support for the UAP programme has been evident not only in its funding of much of the necessary research, but also through sponsorship of a number of meetings on UAP both at the international level, notably the Unesco/IFLA International Congress on UAP held in Paris in 1982, and at the regional level. Its support for the present work is a natural development of this activity and is equally appreciated.

Note:

One of the basic functions of IFLA is to meet the needs of the library community through a number of Core Programmes, which cover issues of primary importance to library activity. UAP is one such programme. The other Core Programmes and their aims are:

Universal Bibliographic Control (UBC) - promotes the production of a single bibliographic record for each publication, thus eliminating the duplication of effort in bibliographic recording, and providing records which are internationally compatible and available.

International MARC Programme (IMP) - promotes the exchange of the imprints of each country in machine-readable form, eliminating the need for duplication of conversion of bibliographic data, and ensuring machine-readable records which follow internationally accepted standards.

Preservation and Conservation (PAC) - promotes the search for solutions to the serious problems of physical deterioration of library and information materials thus helping to preserve and conserve publications of the past, present and future.

Transborder Data Flow (TDF) - promotes the electronic transfer of data among libraries across national borders, thus ensuring that the vital interest of the library community in resource sharing is preserved.

Advancement of Librarianship in the Third World (ALP) - promotes the improvement of librarianship in developing countries.

'Libraries' is used throughout this document as a generic term, embracing also documentation centres, archives and information services.

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1. The availability of publications is essential to support the economic, social, scientific and technological development of nations and the personal development of individuals.

It requires that procedures for the production, distribution, acquisition, retention and loan of publications are carried out effectively for the benefit of users. Various problems limit the extent to which that is achieved at present.

The UAP programme, through publicity and research, has been developed to work towards the improvement of the existing situation. Since improved availability depends to a large degree upon national initiatives and the acceptance of national responsibilities by individual countries, familiarity at the national level with the concept of UAP, with the scale and nature of problems to be faced and with possible methods of improvement is essential.

2. Meetings on UAP can help to meet these needs:

- by increasing awareness;
- by fostering interaction between those working in the same and related fields;
- by concentrating on national concerns, and relating an international objective to local circumstances;

- by identifying lines of improvement through discussion and analysis.

3. Factors to be considered when planning meetings on UAF include:

- determining the most suitable approach to break down a broad and complex programme into manageable elements;
- the need to relate the programme to local conditions and concerns to ensure that it is relevant to local problems and preoccupations;
- the need to adopt a structure that will allow participation and discussion, and the nature of supporting documents;
- the number of participants that will allow involvement and interaction;
- the need to include participants from all sectors of the information community - publishers, booksellers and other distributors, librarians and users - who have direct experience of practical problems and who can initiate change;
- the extent to which local organizers are familiar with the work of the UAF programme;
- the duration of the meeting and individual sessions to ensure full treatment of the various aspects of UAF in the light of local circumstances;
- the advantages and disadvantages of purely national, as opposed to regional, meetings;

- machinery to ensure effective organization of the meeting.

4. It is strongly recommended that meetings be structured primarily by functions as detailed below, since it is upon the efficient execution of these functions that improved availability depends. The formal opening of the meeting will provide a clear indication of the objectives of the meeting, the role of participants and anticipated results, as well as cover domestic arrangements and other procedural matters.

Thereafter, each session will follow a similar format: objectives to be met by the session will be stated; the main issues for discussion will be identified; general discussion and development of these issues will follow. The objectives and main aspects of each session are summarized here for convenience.

Background to the concept of UAP

Objectives:- to establish the context of the meeting; to familiarize participants with the concept, scope and objectives of UAP.

Main aspects:- the need for availability; the need for improvement; the need for practical action; the benefits of improved availability; consideration of the needs of actual and potential users; the orientation of the training of professionals more towards use and availability.

Production and supply of publications

Objective:- to examine obstacles to UAP related to the publication and distribution of material.

Main aspects:- the need for, and methods of securing, the prompt availability of material from publishers through effective distribution channels; the relationship between the book trade and acquisition policies and procedures; co-ordination between the book trade and information professionals for mutual benefit; aspects of authorship, printing, publishing and copyright in so far as they affect availability.

Acquisition

Objective:- to consider the need for, and development of, organized acquisition policies and procedures to collect all national imprints and sufficient foreign material to meet an economic and significant proportion of the total demands of users.

Main aspects:- the need for policies and systems to attain a reasonable level of provision; the distinction between acquisition for wide availability and for archival purposes; national responsibility for national imprints; additional coverage of material; requirements for the effective operation of a system; acquisition methods; possible systems.

Retention and conservation

Objective:- to consider the need for, and methods of achieving, the permanent availability of publications through the development of organized policies and systems.

Main aspects:- the need for systematic measures to ensure retention; the distinction between archival preservation and retention for wide availability; national responsibility for national imprints; requirements

for the effective operation of systems; the link between acquisition, retention and interlibrary supply; the need for conservation; possible systems.

Interlibrary supply - national and international

Objective:- to consider the need for, and development of, policies and systems for the improved supply of publications not held by local libraries to distant users within and between countries.

Main aspects:- the need for systematic policies and procedures to ensure wide availability; criteria for judging performance; requirements for the effective operation of systems; links between acquisition, retention and interlibrary supply; possible national systems; international interlibrary supply.

Assessing availability

Objective:- to consider the need for, and nature of, research to assess present levels of availability and to support the planning of improvements.

Main aspects:- the need for national analyses of the present situation; consideration of existing data and the need for and nature of additional data; the need for reliable data for planning purposes.

National planning

Objectives:- to consider the need for, and nature of, national planning, coordination and cooperation to improve availability within a clear policy

framework; to consider the roles of various agents of action, and suitable priorities.

Main aspects:- the need for national information planning and development; the need for coordination; the nature of planning machinery; the responsibilities of governments, professional associations, individual professionals and users; short, medium and long term planning; the impact of new technology; regional and international cooperation.

Summary discussion

Objectives:- to emphasize points of particular importance; to draw together related aspects from separate sessions; to stimulate practical measures; and to identify positive steps to be taken; as far as possible, specific recommendations should be adopted.

5. Steps must be taken to evaluate the success of the meeting in achieving its stated objectives, and to monitor and assess the implementation of adopted recommendations.

Summary reports of the proceedings should be distributed together with the text of recommendations for ratification by participants. Reports and recommendations should also be published in professional and other literature.

This chapter is intended to provide background information for those concerned with the organization of meetings on UAP. Given the need for participants also to have a good understanding of the concept and programme of UAP, it is also relevant to an introductory session during the meeting itself (see 4.2).

1.1 The need for availability

National and personal development depend upon the ability to profit from knowledge, expertise and skills, which are in turn derived from direct experience and the experiences of others. Effective communication of that accumulation of knowledge to and by others is a prerequisite of its beneficial application to local needs and circumstances.

One of the main means of communicating information is through publications. The functions served by the production and supply of publications are many and varied. For example, they are essential for the development and maintenance of literacy; to improve and further the learning process, both formal and informal; for the improvement of health, housing, nutrition, agricultural methods, industrial processes and products; to support research and its application to development; to support sound planning, decision making and the formulation of policies; and as a means of leisure and recreation.

Since information is only one element in the process of development, it is often difficult to produce direct evidence of ways in which it has contributed, or equally that the lack of information has constrained development. Nevertheless, it would be generally agreed that the modern

world relies increasingly on an adequate supply and rapid flow of information. There can be few sectors of the community or individuals, regardless of their location, social condition or level of intellectual achievement, that do not feel some need for the availability of accurate, timely and useful information.

1.2 The need for improvement

It is essential therefore that the various processes associated with the production and supply of publications are carried out effectively for the benefit of users. Such evidence as exists suggests that improvements can be made at all stages in the chain between producer and user.

Information flow can be hampered by many obstacles. They may be:

- economic : a shortage of resources, human, financial and material, which limits services that can be provided and the scope for development;
- technical : a lack of equipment, maintenance, spare parts, etc;
- socio-cultural : low educational level, poor motivation, lack of training and tradition in the use of information, resistance to change, etc;
- legal : unnecessary restrictions and procedures associated with the use of material;
- political : censorship, the lack of policies, plans and a suitable infrastructure, cumbersome and bureaucratic procedures, etc;

- physical : personal handicaps, distance from services, etc;
- functional : ineffective performance, the lack of clearly determined policies and procedures, lack of tools and trained personnel, etc.

Such obstacles may seem overwhelming. What is needed is a clear understanding of the various elements involved in the production and supply of publications, requirements to be met and criteria for evaluating performance. Against this understanding the impact of such obstacles can be assessed in order to explore ways of overcoming or minimizing them.

It is on publishers, booksellers and libraries that the responsibility for making publications available falls. Improved availability depends upon their ability to operate effectively.

The publisher is responsible for the quality and quantity of works that are published and for publicizing, marketing and disseminating them. In many countries publicity is inadequate and delivery can be very slow. In no country can the indigenous publishing industry meet all the needs of the population and there is necessary and extensive reliance on imports which may present additional problems.

Booksellers and other distributors act as intermediaries between the publishers and purchasers, individual and institutional. In many countries channels for the sale and distribution of both national imprints and imported publications fail to reach large sections of the population.

The availability of publications, both current and especially retrospective, can be assured mainly through libraries. In many countries many people have no, or very inadequate, access to libraries yet the role of local services is crucial. Libraries, no matter how well funded, can acquire only a fraction of world output and the situation in many countries is deteriorating as costs rise and budgets shrink. Increasing reliance must be placed on supplementing local resources by borrowing material to meet additional needs. In many countries the interlibrary supply system fails to meet a high proportion of such needs or does so only after unacceptably long delays. It is also essential that publications once acquired are retained for future use. Some libraries deliberately discard low-use material, some may be forced to do so due to lack of accommodation, some publications may be used to the point where they are worn out. Thus levels of availability may in fact decline.

These activities are, of course, carried out within a broader political, economic and social environment that may be characterized to a greater or lesser extent by some or all of the obstacles noted above, but action can and must be taken if the present unsatisfactory situation is to be improved.

Such barriers and inadequacies inevitably constrain demand. Services will be used only if it is relatively convenient to do so and if there is some expectation that needs can be met. In some countries demand may be so constrained that actual use of library services may be very low and the quality of service may appear, quite erroneously, to be high. In such cases it is almost certain that the lack of effective collections and services means that many real needs are not being expressed. One may cite the example of the United Kingdom where the introduction of specific

and effective document availability services unleash d a very significant volume of demand. Low use of services should not be seen as an argument against concentrated effort and expenditure. Rather the reasons for low use should be explored as a first step towards planning improvements.

1.3 The UAP programme - definition and scope

The twin beliefs in the need for information as an essential element in the process of development and in the need to improve existing practices underpin the creation and continuing development of the UAP programme. UAP is both an objective and a programme. The objective is the widest possible availability of published material to intending users wherever and whenever it is needed. To work towards this objective, the programme aims to improve availability at all levels, from the local to the international, and at all stages, from the publication of new material to the retention of last copies.

Universal availability is, of course, an unattainable ideal. Some works no longer exist, particular conditions may apply to the use of some publications, for example if they are old, rare or fragile. Others may not be available because of political or industrial censorship. The term availability was deliberately chosen to emphasize the need for the positive availability of material where users need it. Libraries are not, or should not be, passive storehouses for use only by those able to visit them. The programme also encompasses all forms of publication, defined as recorded knowledge issued for public use and including printed matter and non-book media, though manuscripts, data banks of purely statistical material and some material that may be confidential to governments or industry would be excluded.

The objective of UAP is thus a qualified and limited one, but this does not detract from the programme. Such qualifications and limitations recognize practical reality, but they can also be a source of danger. It would be easy to accept existing limitations : such complacency or inertia is a worse enemy of UAP than many real barriers.

1.4 The development of the programme

Initial work on the UAP programme took place within IFLA's Office for International Lending established in 1975. In 1979 a full-time staff member was appointed to work on the programme and in 1980 a separate professional unit was designated as a focus for the programme. Activity has been devoted to two main areas - publicity and research.

Publicity was and still is essential to draw attention to the problem and the need for action, and to stimulate positive measures. It has been achieved mainly by lectures and papers at conferences, published articles, leaflets, a book on UAP and a UAP Newsletter. The bibliography of material relating to UAP now extends to over 150 references. A number of meetings on UAP have also been conducted and the experience gained forms much of the basis for what follows.

Research was also essential to provide information on the present situation, to analyse problems and to identify possible solutions. Poor availability is a matter of common experience, but an appeal to experience alone is rarely convincing, particularly if responsible authorities are not fully aware of deficiencies. To demonstrate inadequacies to support or test these beliefs is of some value, but again in itself is inadequate. Guidance is needed as to how problems can be tackled and solved. Clear evidence is needed to support adequate plans

which must be based on facts not opinions. Otherwise the chances of obtaining additional resources are much reduced, and the chances of using resources to best effect still further reduced. A number of research projects have been conducted and it is on these that much of the discussion in Chapter 4 is based.

Most activity in these areas has been undertaken by programme staff or has been subcontracted by them to others. In developing the programme a central focus for activity was needed, but there is a danger that others will then rely on that focal point to take all action. Clearly in the case of UAP that would not be appropriate. It is an international objective, but its achievement must be based to a very considerable extent upon national achievements and the acceptance of national responsibilities. Effective national policies and procedures are the only secure basis for international cooperation. If a country cannot make its own resources available effectively to its own inhabitants it is unlikely to be able to attend effectively to demands received from other countries.

UAP is not a theoretical ideal but a programme of practical action. The programme, through publicity and research, has sought to identify and promote positive measures and provide practical guidance as to how problems may be overcome or reduced both for practising information professionals and for relevant authorities. Familiarity with the concept of UAP, with the scale and nature of problems to be addressed and with possible methods of improvement are all essential aspects in the development of a growing movement towards UAP. In order to meet these needs and to persuade countries to accept certain responsibilities,

guidance and advice have also been offered through meetings on UAP that have been organized at various levels; international, regional and national. Most notable of these meetings was the Unesco/IFLA International Congress on UAP held in Paris in May 1982, which was attended by some 200 individuals from some 65 countries. Meetings on the availability of publications have also taken place in several countries including France, the Netherlands and the United Kingdom (See Appendix 3). It has also been treated at the regional level in Latin America and Africa, and further meetings are planned. Experience gained by direct involvement in most of these meetings forms much of the basis for the present work.

2. THE ROLE OF MEETINGS ON UAP

Meetings on UAP are not an end in themselves: they are only one means of promoting improvements. As such they should meet a number of objectives, many of which are interrelated.

An essential task is to increase awareness; awareness that a problem exists; of its scale, nature and implications; that action can be taken; of the particular roles and responsibilities of various agents of action; and that an international programme exists which can serve as a focal point for guidance and advice.

While information professionals may be keenly aware that availability should be improved, they may not be so aware of the broader context of national activity within which they operate. They may not be aware of the extent to which similar and different problems are faced by colleagues in other institutions, or of how individual operations relate one to another. One of the strengths of the programme is that it analyses particular operations, requirements to be met and possible systems within a coordinated framework that can draw out the interrelationships between them.

Professional isolation can be a barrier to identifying action that can be taken. Individual institutions may not have, or be able to press for, the resources necessary for improvement. Nor would such isolated improvements necessarily prove to be most cost-effective if services are viewed at the national level.

Awareness of a national context and of the problems and preoccupations of others can therefore lead to valuable interaction between those working in the same and related fields. The various sectors of the information community exist in a symbiotic relationship. An understanding of relationships is essential for the development of effective policies.

The activity and effectiveness of publishers and the book trade have a significant effect on the acquisition policies and procedures of libraries. Libraries constitute the main, or even the sole, market for some publications. The book trade and libraries are often concerned independently with bibliographic control that may subsequently be used to mutual advantage. Government policies treating, for example, import controls and currency regulations may be of equal concern to the book trade and libraries.

No institution can be self-sufficient in information provision. Local resources must be supported by the supply of material held in other institutions. This requires the acquisition of additional material. Thus the interlibrary supply system may be determined largely by existing acquisition policies or interlibrary demand could be a major determinant of acquisition coverage. The method used for ensuring acquisition coverage should underpin the interlibrary supply system.

Similarly if material is to be retained to continue to be available to meet future needs, it would seem appropriate to link discarding and retention activity to acquisition policies. If it is to remain readily accessible to users there must also be a link between the retention system and the interlibrary supply system.

These policies and procedures determine the level and quality of service to users. It is of little use to establish systems, even when they have the full support of government legislation and professional commitment, if they do not work to the satisfaction of users. Users must be informed of the scale of the problem, of the possibility of improvement and of means by which it might be achieved, and of ways in which they can help to ensure its achievement. The active support and involvement of users may be vital, yet they are rarely consulted.

Since government policies and financial provision affect the nature and extent of library and information services, it is also important that they be well informed of operational difficulties that might arise.

These examples show that interrelationships must be taken into account when considering improvements. To take action on elements in isolation is likely to produce results that are more costly and less effective than if action is planned on them as a whole. Meetings on UAP can provide a valuable forum for interaction and discussion and a better understanding of the problems and preoccupations of related sectors and activities in order to explore areas in which greater cooperation can bring benefits. Similarly, it will be helpful for those working in the same areas in different institutions to come together to exchange experience of problems that have arisen and solutions adopted, as well as to consider the benefits of combined action.

While meetings on UAP should certainly take into account the work of the programme which has identified requirements to be met, possible lines of development, and mechanisms for determining and implementing

improvements, national meetings on UAP should seek to relate these to national concerns. There is a danger that UAP as an objective may seem too vague or too vast for it to be of immediate relevance. It is vitally important to relate the concept and approach to development to local circumstances. Discussion of national issues in terms of functional operations and particular local problems will reduce what may seem to be a broad and diffuse programme to manageable elements. It should clarify the role of information professionals, enable them to see their operations in context, and stimulate greater involvement of local personnel in furthering availability.

Discussion and analysis of problems are essential for the identification of improvements. As noted above, measures should be based on facts not opinions. Direct evidence of known deficiencies should be introduced which, when pooled, can indicate the extent of remedial action needed, the form that such action might take and the relevant agents of action. Such discussion and analysis is intimately related to increasing awareness and to interaction, but can help by providing a focus.

3. FACTORS TO BE CONSIDERED IN PLANNING MEETINGS

In determining an appropriate format, content and structure for meetings on UAP that will meet the objectives noted above, consideration must be given to a range of influencing factors. The importance attached to these factors will vary considerably from one country to another, but all are relevant. Although the factors are treated separately, many are closely interrelated.

3.1 Possible approaches to UAP

UAP is multi-dimensional and can be approached in a number of different ways. The main approaches are by:

- Functions : publishing, the distribution of publications, acquisition by purchase, exchange, gift and other means, the lending of publications either in the original or as copies within the terms of prevailing copyright legislation, and the retention of publications to meet future needs.
- Levels : local, regional within countries, national, international (both regional and worldwide).
- Institutions : individual organizations, local (state) governments, national governments, regional consortia and networks, professional associations (national and international), international associations and organizations.

These are of course interrelated. Functions are performed by various institutions at various levels; action taken at one level will influence

action at another level, and action by one institution may affect action by other institutions. As already noted, individual functions are also closely interrelated. Meetings on UAP should provide an umbrella for coordinated discussion.

From what has been said above about needs and deficiencies, it follows that improvements to availability ultimately depend upon the efficient execution of certain basic functions. An approach by function is therefore proposed. Such an approach can still allow for particular emphases. For example, an approach by category of material may be thought desirable to allow for particular problems that attach to eg newspapers, grey literature or non-book media. Or an approach by type of institution may be thought helpful eg the role of the national library, the responsibilities of public libraries, etc. However, such aspects can usually be treated within an approach by function, for example, problems in the acquisition of grey literature or the lending of non-book media, the acquisition of national imprints by the national library. In preparing previous meetings on UAP much consideration has been given to the best approach that will reduce a broad and complex programme to basic elements. Each time it has been decided that an approach by function is the most appropriate and the success of meetings has strengthened this philosophy.

However, an approach by function alone is not in itself sufficient. Improvements to functions must be based on an understanding of requirements to be met, both in terms of users and operations, as well as on consideration of the responsibilities of various agents of action. To that extent research and planning and an understanding of users are necessary elements. It will also be necessary to establish the context of the meeting by devoting attention to the broad aims and objectives of

UAP so that individual aspects may be related to this broader conspectus. Thus a meeting on UAP should first establish the context; secondly consider the needs of users that must be met; thirdly analyse the functions that have as their objective the satisfaction of users' needs; fourthly consider research and planning needed for the satisfactory fulfillment of those functions; fifthly a concluding summary should review and draw together points made in preceding sessions paying particular attention to aspects that cut across individual functions, and should stimulate practical action by identifying positive measures to be taken.

3.2 Range and nature of local circumstances

It is suggested above that such a programme allows a degree of flexibility and the incorporation of aspects of local importance. For example, the problems associated with the production and supply of publications in a major publishing country will be much less severe than in most developing countries. The need for non-book media may also vary. It is vitally important that meetings reflect local conditions. UAP must be treated in such a way that it is entirely relevant to local problems and preoccupations, otherwise it will lack credibility and not command the necessary support. It is difficult and unwise to be dogmatic when local circumstances will vary significantly, but the proposed programme does allow for varying degrees of emphasis to be attached to particular aspects while nevertheless ensuring that the full range of activity is covered.

3.3 Structure of meetings

Consideration must be given to the structure of meetings in the light of the objectives discussed above, particularly in the context of increasing awareness and the benefits of interaction. Previous meetings organized by the UAP programme have followed a similar approach. Introductions to sessions have been kept brief, outlining the objectives of the session and main aspects for consideration, thereby allowing as much time as possible for discussion. Discussions have then related general points to matters of specific local or national interest. This works particularly well as local issues are always viewed in the broader context of the programme. As noted above, it is essential that UAP is related to practical local reality. A high level of participation and involvement can help ensure this and foster a spirit of commitment.

Other meetings on UAP have adopted a different approach with more formal, lengthy presentations and limited time given to discussion. While such meetings may be informative and will be related to local circumstances, they do not encourage interaction, participation and involvement. Nevertheless, the approach is a common one. If papers prepared by speakers for individual sessions are circulated to participants well in advance and speakers speak briefly on their papers, drawing out the main points, more time can be devoted to discussion.

Larger numbers of participants and interaction could be achieved by a combination of plenary sessions and small working/discussion groups. Plenary sessions could be limited to broad issues such as the general introduction, research and planning and smaller group meetings could discuss individual functional aspects such as acquisition and interlibrary supply; or plenary sessions could themselves treat the main

functions in broad terms followed by smaller group meetings treating different aspects of the same issue. Such an approach allows detailed consideration by experts of particular topics. However, there is a danger that the links and relationships with other sectors and functions may not be adequately treated and valuable interaction may be lost. One of the main arguments put forward by the UAP programme is that consideration of total national systems that embrace different sectors and functions is both possible and desirable.

Related to the structure of meetings is the question of supporting documentation. Again, there are various possibilities. Previous meetings organized by the UAP programme have made available to participants the Main Working Document and Final Report from the Unesco/IFLA International Congress on UAP. Although general in approach the Main Working Document is of wide-ranging coverage and is based on the results of a number of research projects. However, to reflect further development of the programme, these documents have been supported by other publications of the programme relevant to research and planning.

Alternatively a state of the art report on the situation in the country could be commissioned. This could then serve as a working document for the meeting or, perhaps more likely, as a background document. In the case of the conference of the United Kingdom Library Association a state of the art review of the existing situation⁽¹⁾ commissioned by the

⁽¹⁾ Capital Planning Information. Availability of publications in the United Kingdom: A state of the art review. London: British National Bibliography Research Fund, 1984. (BNBRF Report 12)

British National Bibliography Research Fund provided a valuable overview but particular papers on particular aspects were presented during plenary proceedings. In other cases reliance has been placed on invited speakers with no supporting background document.

Whatever the approach it should be borne in mind that for many participants, the UAP programme will be new and may require a shift in established ways of thinking about services, it would in any event be beneficial to provide material well in advance so that considered reactions can be put forward by participants.

3.4 Number of participants

It has been stressed above that constructive involvement by, and interaction between, participants from the various sectors of the information community are desirable and valuable aspects of meetings on UAP. The extent and nature of such involvement and interaction will be determined in part by the number of participants. A small gathering - below 30 - will allow free discussion. If it is felt that meetings should be open to as many participants as wish to attend, in order to reach a wider audience, open discussion will be much more difficult and a different structure might be needed based on more formal presentations. However, it would still be possible with larger numbers to have brief introductions with much of the content of sessions coming from the floor. This will require an expert chairperson, who should seek to ensure interaction on the floor as well as between the floor and the platform.

UAP is relevant to all sections of the information community. As far as possible, meetings should therefore have representatives from all sectors - publishers, booksellers and other distributors, libraries and users. In this way the problems and pre-occupation of each sector can be brought to the fore, interrelationships can be developed, eg the book trade and acquisitions, and interaction fostered.

It is recognized that "representative users" may be difficult to identify. Nevertheless, since the objective of UAP is improved service to users, it is important to attempt to involve them. In some countries this may be achieved through influential bodies such as Royal Societies, National Associations, Academies, etc. In other countries without such bodies it may be necessary to invite celebrated academics, leaders of industry and so on. All too often library systems are developed by professionals in isolation from those they are intended to serve. By attending meetings users would become much better informed not only of problems to be faced, but also of existing mechanisms. The identification of appropriate information professionals will be much more straight-forward.

That said, a decision will also need to be taken as to the level of responsibility of participants. For example, whether it is more appropriate for library directors to attend, who may be in a position to determine policies and bring about necessary changes, but who may not be intimately familiar with practical aspects of daily operations, or whether it would be more suitable for line managers with direct

responsibility for eg acquisition or interlending departments: similarly whether sales managers of publishing companies are more appropriate than commissioning editors.

Consideration might also be given to whether representation should be limited to major organizations making a significant contribution, for example long established libraries having major collections that play a de facto national role which are thus in a position of influence, or whether smaller, less well endowed institutions that face particular problems should be included. Ideally a mix of the two should be sought.

The question arises as to how many organisations and institutions are needed if the meeting is to be truly representative. If all the considerations noted above are met the numbers involved in the meeting are likely to be high, but this will depend upon the extent of publishing and library activity within the country. There might thus be a conflict between having adequate representation and a total number of participants that still allows involvement and interaction. Ultimately it is essential that participants are sufficiently well versed in the nature of local circumstances and conditions to make a generally valuable contribution to proceedings and are subsequently able to initiate change. Meetings should not simply be a talking shop, but a basis for action.

3.6 Availability of relevant expertise

It has been stressed that national meetings on UAP must relate the concept and programme to local circumstance and conditions. It has also been stressed that participants must therefore be equipped with a broad body of knowledge. It is important that this be related to the broader

conceptual and practical framework of the UAP programme. This is most relevant to an introductory session which should establish the context of UAP, the nature of the objectives and content of the programme, but sessions on individual aspects should also take the work and recommendations of the programme into account. It is the aim of this Guide to obviate the need for UAP programme staff to attend meetings. The literature on UAP is now extensive, running to over 150 references, and a bibliography is published at regular intervals. There is thus no reason why those responsible for and indeed those attending meetings on UAP should not be familiar with the concept, objectives and programme. Nevertheless, some contributions to the literature on UAP are inevitably more significant than others. UAP programme staff could make a package of the more immediately relevant literature available to organizers.

3.7 Length of meeting/number of sessions

In order to give sufficient attention to the various aspects of UAP that should be covered, each session should last 1½ hours. This will allow sufficient time for effective introductory presentations and a considerable degree of discussion. If the recommended format (see 4.1) is adopted then some three days will be needed for the meeting. However, the relevance of, and importance attached to, each session will be influenced by local conditions and concerns and this may be reflected in the amount of time to be allocated.

3.8 Regional and national meetings

UAP is an international objective but, as previously noted, progress towards that objective depends upon national initiatives and the

acceptance of national responsibilities. This Guide is therefore aimed primarily at the national level. National meetings can focus on national issues and are more likely to lead to positive action. However, the format can be applied at other levels such as regional meetings. Increasing attention is being given to regional cooperation as a means of resolving common problems and extending the use of available resources. Cooperative action at the regional level is much more difficult to achieve and there is a danger that discussions would be dominated by comparison of national concerns, systems, etc. If regional meetings are to be successful a common bond between participating countries is necessary.

3.9 Organizational machinery

As with any conference, the success of meetings on UAP, will depend as much upon the attention and care given to organization and preparation as upon the intellectual content. Indeed the factors discussed above are all related to organizational aspects.

It will be necessary to appoint an organizing committee to decide on these and other matters. In addition to the aspects mentioned above it will be the task of that committee to consider such details as the date and location of the meeting, accommodation and meals, pre-seminar distribution (of announcements, invitations, programme details, background and supporting documentation), resource persons, equipment and budget. There are numerous guides devoted solely to such matters⁽¹⁾. It is also likely that expertise in the organization of meetings will be available. The following points are therefore only briefly noted.

(1) See for example: Atherton, Pauline. Guidelines for the organization of training courses, workshops and seminars in scientific and technical information and documentation. Paris: Unesco, UNISIST, 1975.
(SC/75/WS/29)

The date should bear in mind holidays and seasonal pressures. The location should be attractive to participants; proximity to a facility they otherwise would not see may be useful. Rooms must be reserved (for participants and the meeting), rates confirmed and dates of arrival and departure established. Pre-seminar material must be distributed: the prospectus should give a clear description of the seminar and attract participants - it may include criteria to be met by intending participants. Background documents should be distributed to participants well in advance of the meeting. If individual speakers are to be used they should be briefed as early as possible with basic information on the seminar itself and their role as speakers, as well as matters of payment, travel arrangements and so on. While chairmen and rapporteurs may be elected during the meeting it will be advisable to canvas suitable individuals in advance. Accommodation for the meeting must be assessed for seating capacity, adequate ventilation, light, quietness and comfort and necessary equipment such as blackboards, easels, screens, projectors, etc must be made available. The arrangement of tables, chairs and platform, public address facilities, lecterns, ash trays, water and glasses must all be considered.

The question of the composition of the organizing committee also merits consideration. As stressed above, it is important that participation in the meeting be representative of all sectors of the information community: this should be reflected in the organizing committee. While it may comprise chiefly librarians and possibly allocate organizational responsibilities primarily to a library association or national library, the book trade and users should be represented. Where a National Book Development Council exists its experience as a coordinating link between the book trade and libraries could be useful.

4. OUTLINE PLAN

4.1 Introduction

In the light of considerations discussed in previous chapters, in particular in 3.1, the following structure for meetings is strongly recommended and forms the basis for what follows.

1. Background to UAP - including basic requirements to be met and hence consideration of users.
2. Production and supply of publications.
3. Acquisition.
4. Retention and conservation.
5. Interlibrary supply.
6. Research - assessing availability.
7. Planning for availability.
8. Concluding summary.

Before these main sessions there will, of course, be a need for an introduction and formal opening of the meeting. This will cover the usual formalities, welcome, procedural matters, domestic arrangements, etc, but will also include a clear statement of the objectives of the meeting, what is required of participants and the anticipated results.

Each of the following sections follows the same format. Firstly, the objectives to be met by the session are stated; secondly, the main issues for discussion are identified; and thirdly, guidance is given on how these issues may be treated and developed. It must however be borne in

mind that the treatment of these issues and the importance attached to them will vary significantly from one country to another. It is not possible for this Guide to cover all the conditions that might be influential in every country and no attempt is made to be comprehensive. Nevertheless concerns that have been identified during the development of the programme as generally prevalent are incorporated. It is equally true that because of this range of conditions and circumstances there is no universally applicable solution to improving availability. Nevertheless certain requirements must be met and performance may be judged by certain criteria. Such guidance can help to steer countries towards solutions that best suit their circumstances.

4.2 Background to the concept of UAP

Objectives:

To establish the context of the meeting. To familiarize participants with the concept, scope and objectives of UAP.

Main aspects:

To emphasize the need for availability, the need for improvement and for practical action. To highlight benefits to be derived from improved availability. To ensure consideration of the needs of actual and potential users in the planning and development of library and information services. To promote the need to orientate the training of professionals and the services they provide more towards concepts of use and availability.

Discussion:

The definition of UAP as established by IFLA should be used:

"Universal Availability of Publications is both an objective and a programme. The objective is the widest possible availability of published material to intending users, wherever and whenever they need it. To work towards this objective, the programme aims to improve availability at all levels, from the local to the international, and at all stages, from the publication of new material to the retention of last copies, both by positive action and by the removal of barriers".

Consideration should be given to each of the terms to help indicate the scope of the programme. Universality is an unattainable ideal, but in all countries improvements must and can be made. Availability suggests a more positive and dynamic approach to users' needs than allowing passive access to collections. Publications include all forms of recorded knowledge issued for public use from conventional printed matter, through grey literature and non-print media to material recorded in digital form.

The need for the availability of publications should stress the importance of information for the economic, social, scientific and technological development of countries and the personal development of individuals. There can be few, if any, sectors of the community or individuals that do not at some time feel the need for accurate and timely information. Publications remain a main means of transmitting information.

The need for improvement may briefly chart the responsibilities of the various agents involved in the chain of provision and supply: publishers who determine what shall be published and publicize and market the primary material: booksellers who distribute from publishers to the buying public, both institutional and individual: libraries who acquire, process, disseminate and conserve the material for their users. Some known inadequacies may be identified that may be addressed in greater detail in subsequent sessions.

The need for action to avoid deterioration of services should be emphasized, noting the growth in the volume of material published in an increasing range of formats, improvements to bibliographic control that increase awareness of publications, the extension of education that is leading to an increasing and articulate body of users.

Benefits to be derived from improved availability may be briefly reviewed to stress the need for practical measures. Such benefits may be related to the support of literacy programmes; to formal and informal continuing education; to improved industrial processes and products; to improved agricultural methods and productivity; to improved medical care and the control of disease; to the decision making process of governments, officials and planners; etc. Emphases given here will reflect local circumstances and priorities.

Since the ultimate objective of UAP is improved service to users, it is appropriate to consider them at this stage. The development of plans and systems for improvement requires an understanding of their needs. While they may not always be able to identify and articulate their requirements, their support may be essential for the development and acceptance of improved services - services must work to the satisfaction

of users. The importance of educating users in information handling skills from the earliest stages should be strongly emphasized. It may be particularly appropriate at this stage to consider key user groups, not only in terms of meeting the majority of their needs, but also in terms of the support they can give to the development of services. Improved service, for example, to government departments can do much to persuade relevant authorities of the value of library and information services.

It is also appropriate in this session to give general consideration to the role of information professionals since it is upon their skills, abilities and attitudes that the success of systems and hence service to users ultimately depends. Training of professionals may be discussed in the light of numbers needed, and of the quality of professional education which should be concerned primarily with the satisfaction of users' needs. The concepts of use and availability are often lost in a preoccupation with technicalities which must be seen as means not ends. The need for continuing professional education may also be stressed to ensure that information professionals keep up to date and are aware of changes that affect the services they should provide. Narrow professionalism and an outdated and irrelevant approach do little to improve the low status and poor public image of information professionals that exist in many countries. To reinforce their position and help change attitudes it may be necessary to consider alternative methods for evaluating performance. Conventional measures of size of stock, numbers of users etc may not be adequate indicators of the extent to which users' expectations are met.

Much of the discussion in Chapter 1 is also relevant to this introductory session.

4.3 Production and supply of publications

Objective:

To examine obstacles to UAP related to the publication and distribution of material.

Main aspects:

To comment on the need for, and methods of, securing the prompt availability of material from publishers through effective distribution channels both within and between countries. To consider in particular the relationship between the production and supply of material and its acquisition, and the need for coordination for mutual benefit between the book trade and information professionals. Related aspects of authorship, printing, publishing and copyright may be considered in so far as they affect availability.

Discussion:

Consideration of this area will vary considerably from one country to another depending on local circumstances. The publishing of books and journals is dominated by relatively few countries and there is extensive, necessary and continuing reliance on the products of other countries. Consideration may be given to the balance between national and imported imprints needed to meet users' needs. In some countries it will be appropriate to examine factors that hamper the production of national imprints relevant to local needs. This may include a lack of tradition in writing, low levels of literacy, lack of purchasing power and the use of minority languages that limit the size of markets, and the lack of

paper, inks and machinery, supplies for which should be included by governments in economic planning. The role of translations and adaptations to meet local needs may be considered. The need to rely to a significant degree on imports may have particular implications in some countries, and may meet problems of currency and customs regulations, administrative - especially payment - procedures and slow speed of supply due to distance from the producing countries. In many countries distribution is the weakest link in the chain between author and reader. Rural areas in particular may be poorly served or not at all. Lack of awareness of what is published points to the need for improved bibliographic control by the book trade as bibliographic control by libraries can only be based on what they have acquired or on what has been reported to them. The nature and extent of legal deposit may be considered. In many countries coverage is inadequate and publishers fail to comply with the requirement to deposit.

A main concern of this session should be the nature of links between the book trade and libraries. The activities and efficiency of publishers and distributors significantly affect the acquisition policies of libraries. Libraries are the main market, occasionally the sole market, for publications and their development, especially school and public libraries, can be a major stimulus to the growth of publishing. Deposit legislation is often framed in terms of punishment for failure to comply rather than in terms of the benefits to the book trade through greater awareness of their products. Improved availability is as much in the interest of the book trade as of library and information services. Much closer cooperation and coordination between these sectors in areas of mutual benefit could bring significant improvements. In some countries the role of National Book Development Councils may be considered, both for the promotion of a flourishing publishing industry and for improved

coordination between the various bodies and individuals involved in the manufacture and dissemination of publications which are often unable individually to identify and implement solutions to problems.

A summary of a report conducted by the programme on commercial book supply is given in Appendix 2.1.

4.4 Acquisition

Objective:

To consider the need for, and development of, organized policies and procedures to ensure the systematic collection for purposes of supply between institutions (either in the original or, within prevailing copyright legislation, as copies) of all national imprints and sufficient foreign publications to meet a significant and economic proportion of the total demands of users.

Main aspects:

The need for national policies and practical systems to attain a reasonable level of provision of publications to supplement local availability. Differentiation between acquisition for wide availability and for archival purposes. The responsibility of individual countries to ensure that their national imprints can be made available to other countries. Additional coverage of a national policy and system. Requirements to be met for the effective operation of a system. Methods of acquiring material. Consideration of possible systems.

Discussion:

The importance of clearly stated and planned national acquisition policies and systems should be stated. They are essential to provide a framework for the optimum use of funds at the local level and as a basis for international activity. The need for systematic measures to improve the pool of resources available to a country is becoming more marked as the volume and cost of publications increase while budgets available to libraries in many countries remain static or decrease in real terms. A national policy should however be seen as a supplement rather than an alternative to local provision. It is at the local level that the majority of users should expect the majority of their needs to be met, but systematic provision of additional material is needed.

The distinction between acquisition to meet archival responsibilities eg by legal deposit at a national library and an acquisitions policy to ensure wide availability should be drawn. An archival collection of national imprints, while desirable and necessary for various reasons, does little to further availability to the inhabitants of a country as a whole. Such material is often accessible only to those able to visit the collection in person. The concerns of this session are policies and systems to meet the needs of users throughout the country. However, at present in many countries the most complete collection of national imprints is to be found in archival collections. Attention is often turned instead to the systematic provision of foreign material, it being assumed that material produced within the country will somehow automatically be available. In any event, the effectiveness of deposit legislation varies greatly. Such laws do not exist in all countries, where they do exist they may be of recent origin, may not cover all forms of publication and may not be observed by all publishers. National

meetings should focus on the ability of the country in question to meet the cardinal principle of UAP that its own national imprints should be available.

The need to devote more attention to foreign material may be justified by patterns of demand from users, by the need to optimize use of scarce resources of foreign currency, to mitigate the effects of export controls, etc, but this should not lead to neglect of indigenous production. Meetings should discuss the balance between national and foreign coverage and consider additional areas such as grey literature, non-book media etc that may not be adequately covered.

In discussing the need for a national acquisition policy and system, meetings should give consideration to the various requirements to be met. Over and above commitment to UAP and the need for national policies, a planning and steering body will be required and its authority must be accepted. There must also be a reasonable guarantee of long-term funding, the relatively unrestricted procurement of foreign publications, guides to resources, an effective system to lend originals or provide photocopies when permissible, the retention of material acquired to meet future needs, and constant monitoring to ensure effectiveness. Meetings might give consideration to the ability of existing procedures to meet these requirements and, if they cannot, to what alternatives may be acceptable. The history of voluntary cooperative schemes is not encouraging. Nevertheless, if it is felt that a national policy imposed from above or arrived at by mutual consent is unrealistic, consideration may be given to initiating cooperative schemes which by way of example may persuade controlling authorities of their validity.

With regard to methods of acquisition the link with the previous session may be stressed. The relevance of legal deposit for national imprints has been mentioned and reference made to some of the difficulties that may be associated with purchase. Where relevant, meetings may wish also to discuss possible benefits of exchange and donation schemes.

In order to provide a focus for such discussions, meetings may wish to devote attention to possible systems that may remedy some of the inadequacies and difficulties identified. In this regard the work of the UAP programme should be taken into account - Appendix 2.2 summarizes research in this area conducted within the UAP programme.

4.5 Retention and conservation

Objective:

To consider the need for, and methods of achieving, the permanent availability of publications through the development of organized policies for the systematic retention and conservation of material to meet future needs.

Main aspects:

The need for systematic measures to ensure the retention to meet future needs of at least one copy of all material acquired. The distinction between archival preservation and retention for wide use and availability. Particular responsibility for the continuing availability of national imprints. Requirements to be met for the effective operation of a system. The link between acquisition, retention and interlibrary

supply systems. The need for conservation. Consideration of possible systems.

Discussion:

Although IFLA has established a separate Core Programme on Preservation and Conservation, the permanent availability of publications for future users is an essential element of UAP. The importance attached to this function varies from library to library. Some seek to retain items they acquire, others are more concerned with currency and material is commonly withdrawn and possibly discarded. This has happened in the past and some material is lost forever. Pressure on libraries is increasing as the volume of publications increases, but is not matched by the necessary accommodation. Without systematic measures the situation is likely to deteriorate and increasing quantities of material will be lost to the world. The extent of such pressure will vary from one country to another. In many, especially developing, countries with limited quantities of material, lack of accommodation may not yet present a serious threat.

The distinction drawn between necessary archival preservation and retention for wide availability noted in the previous session is again relevant, as is the emphasis on national imprints - each country must accept responsibility for making sure its own imprints remain available.

The effective operation of a repository system requires that individual institutions are willing and able to relinquish ownership of material to be stored elsewhere. In many countries personal responsibility for stock that is seen as a material asset and that may have been acquired with some difficulty may present a barrier to the effective organization

of services. The issues of what and how to relegate to repositories must also be addressed. As noted, a particular responsibility is attached to national imprints. Various methods may be used to identify lesser used material that can be relegated. Studies of the so-called 'half-life' of journals in particular subjects or other crude measures of obsolescence are of some value as general indicators. Detailed study of local use is difficult, but can provide valid information for weeding in a particular library.

However repositories are organized, effective management of the system is needed and the material must be made available to users with little delay: otherwise there will be increasing pressure from users to retain material locally. Individual countries should consider local circumstances that affect these requirements.

The last point emphasizes the link between repositories and interlending. If material is to be retained to be widely available then some form of interlibrary supply will be needed. Further, if, as covered in the previous session, a national acquisitions policy is held to be necessary, then a link between acquisition and retention responsibilities could usefully be established.

When considering the retention of material acquired, attention must also be given to preservation and conservation. Again needs will differ from country to country. Collections of older material in countries with temperate climates are likely to include some publications, notably since ca 1850 that are in need of treatment. In sub-tropical and tropical countries problems arise as a direct consequence of the climate and of insect and other infestation. Meetings should seek to assess the present

state of the problem, the nature of remedial action being taken eg by microfilming programmes and give some consideration to planning requirements eg a register of microfilm masters.

Consideration should be given to the nature of a suitable repository system. The choice will be determined by political and geographical factors as well as by library and user needs. The possibilities of local, regional or national repositories may be discussed, as may their coverage - all subjects or by individual subjects or groups of subjects - and whether they should serve all institutions or different categories of institution. When considering possible solutions reference may again be made to relevant work within the UAP programme summarized in Appendix 2.3.

4.6 Interlibrary supply - national and international

Objective:

To consider the need for, and development of, interlibrary supply policies and systems as essential elements in national library and information services for the improved supply of publications not held locally to distant users (either in the original or, within prevailing copyright legislation, as copies), both within and between countries.

Main aspects:

The need for systematic policies and procedures to ensure wide availability. Criteria for judging the performance of systems. Requirements for the effective operation of systems. The links between

acquisition, retention and interlibrary supply. Consideration of possible solutions. International interlibrary supply.

Discussion:

Without machinery for making publications widely available UAP cannot be attained. No collection can be exhaustive and meet all needs, nor indeed can the total collections of any country. Reliance must be placed to a degree on material held in other institutions and in other countries. Interlibrary supply has long been regarded as a marginal activity, but the increasing level and importance of this activity requires systematic attention if it is to operate effectively. An organized and efficient system influences demand for wider availability and is essential to achieve it. In few countries has the scale or importance of interlibrary supply been recognized. Informal cooperative arrangements afford only a partial solution. Systematic measures are needed to meet national and international responsibilities. In many countries poor performance constrains the articulation of real needs. Meetings should consider existing structures and performance in the light of local conditions and restraining factors.

The main criteria for judging the performance of systems put forward by the UAP programme are: the proportion of requests satisfied - related to the volume of demand -, speed of supply and costs. An apparently high level of satisfaction may result from a poor system which is little used or which is used only when expectation of success is high. In such cases the release of latent demand would probably overwhelm existing mechanisms and also show a low level of satisfaction. For speed of supply, three weeks between requesting an item from another institution and receiving

it is a reasonable expectation. Consideration of the cost of the system should treat not only the total cost of operating existing procedures, but also the unit cost that this gives per transaction. Meetings should comment on these major aspects of performance. In the light of a probable lack of hard data reliance will have to be placed on the perceptions and experience of those using and operating systems. Ease of use may be discussed as a secondary criterion of performance. If systems are cumbersome and difficult to use they will fail to attract demand, costs may be high while effectiveness is low. The ability to monitor performance is therefore also of importance: to assess demand, to see what demands are being met and at what cost so that changes in coverage and procedures can be introduced to ensure continuing efficiency.

Requirements for an effective system include the collection of publications (treated in the previous session), means of locating them, procedures and mechanisms for requesting and supplying material, a code of practice, the collection of statistics, and machinery for making copies. Meetings should again assess actual practice in these areas to identify how far such requirements are met. Consideration may also be given to other aspects that may affect performance or influence the structure of systems. These might include, for example, the personal responsibility that is placed on librarians in some countries for the safe-keeping of their stock, or particular inadequacies of the transport and communications systems, etc.

The link between acquisition, retention and interlibrary supply should be stressed. Material can be supplied to others only if it has been acquired. The nature of a planned national acquisition system will

automatically determine channels of interlibrary supply. While it is possible to consider improvements to interlibrary supply procedures without reference to acquisition, any consideration of an interlibrary supply system must give attention to the collection and location of documents. Similarly the link between a repository system and continuing wide availability by interlibrary supply may be stressed.

Again attention may be turned to possible systems and their relative merits and suitability with regard to local circumstances and conditions. The work of the UAP programme in this area should again be taken into account.

In considering international interlibrary supply meetings might assess the nature and extent of reliance on other countries and the obligations they have to meet demands they receive from other countries. The need to make national imprints available should again be stressed. It should be emphasized that effective national systems are essential if international availability is to be effective. The desirability of a national centre for international lending to monitor, control and direct international requests may be stressed. The desirability of regional cooperation with other countries to increase the pool of resources available may be considered.

The findings of research by the UAP programme into national interlending systems are summarized in Appendix 2.4.

4.7 Assessing availability

Objective:

To consider the need for, and nature of, research to assess present levels of availability and deficiencies and to support the planning of improvements to availability.

Main aspects:

The need for national analyses to assess the present situation.
Consideration of existing data and the need for, and nature of, additional research. The need for reliable data for planning purposes.
The nature of research conducted within the UAP programme.

Discussion:

Improvements to availability are ultimately the responsibility of individual countries. There is no generally applicable solution: each country must assess the needs of users (both actual and potential), existing resources and resources available for improving existing services and creating new ones. Such an assessment must be related to environmental and infrastructural factors that have an effect on the design and operation of services, such as geography, climate, political structure, the economy, the communications and transport systems, development priorities and so on.

While poor availability may be a matter of common experience there is in most countries a marked shortage of data on existing services. Even when

data are available they rarely enable any conclusions to be reached about costs and effectiveness. Many published descriptions give little or no indication of performance. It is not sufficient, for example, to show that a country has many libraries and that they are well endowed, or that there are extensive union catalogues. The questions that must be asked are to what extent and how quickly can users' needs be met. Further, much of the literature expresses hopes or intentions rather than actual action, and rarely is evidence produced to support statements of needs and the planning of possible solutions. Effective planning must be based on facts not opinions. Without reliable data it is unlikely that resources will be used to best effect.

It should be emphasized that research does not necessarily imply costly and lengthy studies. Well designed data collection and analysis can yield sufficient information as a basis for action. The results of action taken should also be monitored and studied to ensure that objectives are met and that resources are used effectively and to help map out directions for the future.

Attention should be drawn to the various research projects undertaken within the UAP programme, notably those of library functions. These analyse in detail the requirements to be met, factors to be considered, criteria for assessing performance and the likely performance of various model systems. Their importance as a starting point for further work in individual countries may be stressed.

With regard to studies of national availability, the work of the UAP programme in developing a simple and easily and cheaply administered methodology may also be noted. This is presented in Appendix 2.5.

4.8 National planning

Objectives:

To consider the need for, and nature of, national planning, coordination and cooperation to improve the availability of publications within a clear policy framework. To consider the roles of various agents of action and suitable priorities.

Main aspects:

The need for national information planning and development. The need for coordination. The nature of planning machinery. The responsibilities of the various agents of action of the information community. Short, medium and long-term planning. The impact of new technology. Regional and international cooperation.

Discussion:

It should be stressed that adequate availability must be planned, preferably at a national level. A national policy is highly desirable, as part of which responsibility must be assigned for assessing needs, for providing services through appropriate structures, for developing the necessary professional and technical manpower, for the education and continuing involvement of users, and for the introduction of new methods as appropriate. Emphasis may be placed on the need to take practical possibilities and constraints into account, resulting in the setting of attainable objectives within a reasonable time scale entailing moderate finance. Political, social, economic and other factors must be kept in

mind. The need for availability may be so obvious that it has not been set as an explicit policy or practical objective. Unless it is clearly stated it may fail to receive proper attention. Any national information policy must take account of the need to make publications available.

The interrelationship between the various sectors of the information community should be stressed (see Chapter 2). They exist in a symbiotic relationship. It should be emphasized that taking action on elements in isolation is likely to produce results that are more costly and less effective than if action is planned on them as a whole or if, at the least, there is cooperation between the elements. The work of the UAP programme shows that solutions that coordinate functions are possible.

Given the range of activities to be considered some coordination is necessary. This may be a formally established body having a degree of autonomy yet having direct access to government and including representatives from all sectors of the information community and having formal terms of reference. Where such machinery is difficult to achieve it may still be possible to establish a less formal body having moral authority, or a persuasive group of enthusiasts may be able to stimulate action. In the final analysis much depends upon individuals and care should in any case be taken to avoid over-elaborate machinery that could possibly hamper rather than promote improvements. Meetings should assess the adequacy of existing machinery and the possibilities for establishing new or more effective systems.

The responsibilities of the various sectors should be discussed with regard to planning. The role of government to provide a suitable policy framework and adequate organizational and financial support to translate

policy into effective action at all levels, may be emphasized. The responsibilities of information professionals to contribute to the formulation of detailed policy and to its subsequent implementation may be discussed. It is they who are best placed to see where problems lie and the nature of remedial action needed. Improvements require a commitment by information professionals to the concepts of use and availability. The importance of professional associations as a forum for discussion and for developing and maintaining professional commitment may be discussed. Their corporate voice, taking the needs of the professions as a whole into account, can act as a strong influence when representations for improvements are made.

The importance of a gradual approach may be emphasized - change will not occur overnight. Planning might be based on short-term improvements in access to existing resources, medium-term planning of extensions to services and long-term planning of new services. Short-term plans should be established in the context of long-term objectives. Long-term planning can assist in establishing priorities and the resources needed at each stage. Future possibilities should be taken into account. It has already been mentioned, but may be stressed here, that the introduction of improved services will almost certainly result in an increase in the level and complexity of demand. Systems must be sufficiently flexible to accommodate growth and change. Care must be taken not to damage confidence by making claims too early or too large for what can actually be achieved.

In considering long-term planning, attention should also be given to the likely impact of new technology. While specific developments may have been considered in preceding sessions, eg computer requesting and

facsimile transmission as aspects of interlending, or new storage formats for retention and conservation, it is appropriate to consider new technology here in the broader context of planning. Technological advances, though their extent and influence cannot be predicted precisely, will certainly alter present patterns of publishing, storing and supplying material and may radically affect the future availability of material. It should be stressed that while technology may affect the means by which availability is achieved, the concept of UAP remains permanently valid. It is important also to consider not only what is technologically possible, but also what is economically and socially probable and desirable. Even though the new technologies are unlikely to produce immediate solutions to long-standing problems, all countries, whether or not directly involved in their development, will be affected and should seek to assess their likely effects.

National planning must also take account of developments in other countries. In any case, continuing and necessary reliance will be placed on other countries regardless of the extent of national improvements. Meetings should consider the importance or relevance of resources held in neighbouring countries and the extent and nature of access to other collections which can reasonably substitute, or diminish the need, for provision in certain areas.

4.9 Summary discussion

Objectives:

To emphasize points arising in previous sessions generally acknowledged to be of particular importance. To draw together related aspects that

have been treated separately as a result of the structure of the meeting. To stimulate practical measures and positive steps that can be taken as an initial stimulus to longer-term action.

Discussion:

The coordinated approach proposed by the UAP programme should be emphasized. With any formal structure imposed on a meeting there is a danger that some interrelationships may not be fully developed. It will be the task of the chairperson to remind the audience of major issues that have arisen and of possible directions that may be followed. When summarizing proceedings it may be beneficial to make reference to the basic requirements of UAP that have been elaborated in the development of the UAP programme. These can act as a valuable focus for recapitulating the present situation and indicating the extent of improvement needed.

Effective availability requires:

- an evaluation of the needs of actual and potential users and how far they can be met by and through publications;
- a closer match of the publishing and distribution programmes of publishers in each country to the requirements of people within countries and internationally;
- the creation or improvement of effective book trade channels to ensure the prompt availability of material to customers;

- the development by libraries, documentation centres and archives of effective policies and procedures for the acquisition of material, whether by purchase, gift, exchange or other means, to serve present and future needs;
- the development by libraries, documentation centres and archives of effective policies and procedures for the supply of publications, in the original or as copies to remote as well as to local users;
- the permanent retention and conservation within each country of at least one copy of publications acquired by its libraries and archives;
- the acceptance by individual countries of full responsibility for the acquisition, supply by loan and retention of all their own publications to meet the present and future needs of their own citizens and those of other countries;
- steps to increase and improve professional and technical manpower;
- the development in as many people as possible of reading and facility in information handling from the earliest stages;
- the active involvement of users;
- awareness and application of new technologies as appropriate.

The summary session also provides participants with an opportunity to raise matters that have not received sufficient attention as a result of

the structure of the meeting. It can also allow participants to raise questions to clarify areas of doubt. Questions can help tie up loose ends; allow issues to be summarized and classified; help participants see how they can use what they have learned; and indicate to the organizers just how much information really got across.

While meetings on UAP can help increase awareness, foster interaction and relate an international objective to national activity and local circumstances, and while all of these activities are desirable and can be beneficial, they are of little use if they do not stimulate action. Meetings should not be just a 'talking shop'; their main role as a forum for discussion should be to identify positive measures that can be taken. Such measures are conventionally embodied in recommendations that have the support of all or a considerable majority of the participants. At the very least an agreed statement on the results of the meeting that can highlight the need for improvement and influence relevant authorities should be prepared and ratified by the meeting. It should be acknowledged that this is unlikely to be as effective as specific recommendations.

It is not possible here to predict the nature of recommendations as circumstances, the need for and nature of action will vary significantly from one country to another. Nevertheless, it may be anticipated that recommendations will be related to each of the sessions. To that extent the rapporteurs, chairmen and speakers at individual sessions will have some responsibility to note aspects of particular importance that arise in presentations and discussions. They may indeed combine to act as a 'recommendations panel' to formulate draft recommendations and consider other recommendations passed to them by participants. Ideally draft

recommendations should be typed and circulated to participants in time for due consideration prior to ratification. It may therefore be desirable to allocate the consideration and ratification of recommendations to a closing session rather than try to include them in the summary discussion, particularly as that discussion may raise new areas where recommendations for action may be desirable.

Recommendations should, as far as possible, be specific and addressed to particular authorities, institutions or individuals. General statements to a wider audience may in some circumstances be needed, but are not likely to be a successful basis for action. If specific recommendations are addressed to specific agents of action it will be much easier to determine subsequently whether they have been pursued.

The Recommendations of the Unesco/IFLA International Congress on UAP are given in Appendix 4. They are not intended to guide the formulation of recommendations that might be adopted at national meetings, though they may be of some help. They do however set national objectives in a wider context. In formulating recommendations, indeed throughout the whole meeting, the international dimension should not be forgotten. UAP is an international objective, but its achievement rests largely with individual countries. National meetings may have as their main aim the development of improved procedures and mechanisms to serve their own inhabitants, but international responsibilities cannot be ignored. Improved availability within individual countries can make a significant contribution to improved availability between countries.

5. EVALUATION AND FOLLOW-UP OF THE MEETING

5.1 Evaluation of the meeting

Organizing any meeting requires the expenditure of effort, time and money by a considerable number of people. It is therefore appropriate to consider whether this has been to good effect. Unfortunately this aspect is often neglected; often little attempt is made to determine whether meetings have met their objectives or whether recommended activities have been undertaken.

In deciding on processes to be used to evaluate meetings on UAP it is first necessary to establish why the meeting is to be evaluated.

Evaluation of meetings is often conventionally aimed at determining how future meetings can be improved. However, given that it is unlikely that national meetings on UAP will be repeated, unless numbers are such that a series of meetings is desirable, it will not be necessary to evaluate format and content with a view to improving future meetings. What should be determined is whether the meeting was successful in achieving its stated objectives and what action resulted. There is thus a need for immediate evaluation to determine the former and evaluation at a later state to determine the latter.

For the former it is important to determine that participants have gained a clear understanding of the aims and objectives of UAP; of the existing situation; of what is needed; and of their own particular roles. This can easily be ascertained by informal contact during meetings. Indeed, any attempt to discover such information at the end of or after the proceedings will not allow remedial action to be taken. The summary discussion (4.9) does however provide a final opportunity to clarify

these points and to invite participants to raise questions if they have any doubts. A summary report of the meeting should be distributed to participants which again can go some way towards clarifying these issues.

For the latter, it will be largely a matter of determining what action has been taken as a result of recommendations. For the most part recommendations will be directed to designated agents of action, be they general - such as all professionals, or specific - such as a professional association, the national library, etc. It should be relatively straightforward, after an appropriate period of time to recirculate the recommendations asking participants to report on action they have taken. It will be advisable to inform participants during the meeting that such a procedure will be adopted to help ensure that recommendations are indeed pursued. While it is hoped that participants will leave the meeting fired with enthusiasm, it must realistically be anticipated that some, for one reason or another, may not be so determined. Although it is recognized that some improvements to availability are long-term objectives and that quantifiable results may take some time to achieve, this does not mean that action to work towards those objectives need not begin quickly. Similarly there are likely to be short-term recommendations where immediate action can be taken. There is thus no reason why this aspect of evaluation need be unduly delayed: indeed, if it is left for too long, it may prove difficult to rebuild enthusiasm.

5.2 Reporting on the meeting

It has been suggested that a summary report and recommendations should be sent to participants. This should be done as quickly as possible after the meeting while discussions are still fairly fresh in their minds. It

will also help to maintain momentum: action should follow on from discussions. As noted, once the initial impetus and enthusiasm generated by the meeting have been lost, it is very difficult, if not impossible, to regain them. Participants should be invited to comment on the text of the report and recommendations.

It is also recommended that a summary report (possibly rewritten in different versions for different audiences) and recommendations be published soon afterwards in appropriate literature; not only in professional journals - it is important also to try to reach that wider body of users for whom services and the results of deliberations of the meeting are ultimately intended.

Consideration may also be given to publishing the full proceedings of the meeting. Certainly any background document commissioned for the meeting and the text of papers presented (if that format has been adopted) should be made available. If the seminar format has been adopted with time largely devoted to open discussion, then publication of the full proceedings admittedly presents problems. Verbatim transcripts of discussions are rarely as useful (or readable) as edited highlights, and in any case participants may feel rather less willing to contribute if they know that their every word may be read by others. Verbatim transcripts will also require the controlled recording of proceedings.

Finally, it should be remembered that if any agencies, national or international, have sponsored the meeting, they too will require a formal account. If sponsorship has also been financial, an account of income and expenditure will also have to be provided.

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APPENDIX 2 SUMMARY OF RESEARCH OF THE UAP PROGRAMME

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COMMERCIAL BOOK SUPPLY: THE AVAILABILITY OF BOOK MATERIALS THROUGH COMMERCIAL CHANNELS, WITH PARTICULAR REFERENCE TO DEVELOPING COUNTRIES. 1. LITERATURE REVIEW.

INTRODUCTION

The study is particularly concerned with book supply to libraries, although any discussion of the book trade inevitably includes many general aspects. The report is the product of an extensive literature survey. It places special emphasis on developing countries, insofar as this is possible: there are far more works dealing with developed than with developing countries. The report is based as far as possible on current information, though inevitably in a number of instances less recent information had to be used as the latest available. Newspaper publication and distribution are not reviewed, except where they affect book supply to libraries.

The study treats the characteristics of commercial book supply, factors affecting the viability of commercial book supply in developing countries, both general and special types of publishing, distribution, and acquisition of books by libraries. It is supplemented by an annex of statistics of book production.

CHARACTERISTICS OF COMMERCIAL BOOK SUPPLY

The publisher brings the author, the printer and the bookseller together by providing the capital for each publication and by supervising its production, and gathers the profits (or underwrites the losses) on each book published.

Publishing differs from other industries in the very large number of different products (ie titles) offered, and in the great variation in the number of individual products sold.

Authorship, particularly in developing countries, is usually a part-time activity. Many authors outside the main publishing countries prefer to be published by major publishers in the developed countries, because they offer more opportunities for publication and because these publications make a larger impact. Authors from developing countries suffer from a higher rejection rate from publishers in developed countries, at least in the field of scientific journals.

Most printers in developing countries need to import equipment and supplies. A steep rise in paper costs during the 1970s has led to lower print runs, particularly in centrally planned economies and developing countries. Many developing countries have the necessary raw materials for papermaking, but development costs are very high. Many developing countries in Asia have scripts for which mechanized printing equipment is not available.

The retail bookseller is the main outlet for most publications. In some industrialized countries wholesalers act as an intermediary between publishers and retail booksellers. Most booksellers are based in towns, and rural populations

particularly in developing countries, often have very limited access to books.

Mass distribution of books through stores that also sell other goods, and postal distribution through direct sales and book clubs, have both expanded recently, particularly in industrialized countries.

These two forms of competition have led to a reduction by some booksellers in the choice offered to customers because fewer titles are stocked.

FACTORS AFFECTING COMMERCIAL BOOK SUPPLY IN DEVELOPING COUNTRIES

The absence of established local traditions in publishing and writing and low levels of literacy, education and purchasing power all adversely affect publishing in developing countries.

Distribution networks are often inadequate. There are few retail outlets, particularly in rural areas. Transport facilities are often poor and costs high. Transport systems are underdeveloped because of the lack of resources and of trained personnel. Most international transport routes link developed and developing countries, rather than developing countries with one another.

Although worldwide telecommunication links have increased rapidly, the gap in technology between developed and developing countries is one reason why some new developments such as the electronic journal have limited application in developing countries.

COMMERCIAL PUBLISHING

In industrialized countries most trade books are sold in hardback editions through retail bookshops. Trade publishers expect to sell all copies of each of their titles within a few years, and many do not therefore publish titles of minority interest.

Many mass market publishers concentrate on selling few titles at a low retail price in very large editions through a large number of retail outlets. This practice has spread the book buying habit in many industrialized countries.

Textbooks are often sold in large quantities, and can be an important source of income to publishers, some of whom have a large export market in developing countries.

Children's books form only a small proportion of total sales, but sell much more consistently than adult books over a long period. Libraries form the biggest single market for children's books.

In most industrialized countries title output has risen consistently, and the proportion of paperback titles continues to increase. A few industrialized countries are net exporters of books. At the other extreme, local publishing may suffer because of penetration by transnational publishers.

In most centrally planned economies, there are relatively few, albeit large, publishers who produce their thematic plans according to production targets

set by a single state body. Demand tends to outstrip supply, partly because shortages of paper and printing capacity limit the size of print run. Imports and exports are regulated by a single state agency. There is not the same distinction between trade books and mass-market paperbacks as in industrialized countries. Textbooks and children's books are both produced in very large editions.

Developing countries have a need to improve all aspects of commercial book supply, especially by strengthening manufacture and improving distribution. Availability of paper and printing capacity requires improvement and there is a great need for training in the book trade.

Publishing for mass distribution exists in some developing countries. Western models of mass distribution have been successful in towns, but the only schemes to penetrate rural areas have combined mass production with postal book clubs or village library schemes.

Textbooks tend to dominate publishing in developing countries. Children's books, which are important if reading habits are to be developed and maintained, are often in short supply.

SPECIAL TYPES OF PUBLISHING

In industrialized countries many scholarly books are published by university presses and similar bodies, which may be subsidized by the parent body. In all industrialized countries, a high proportion of sales of scholarly books is to libraries. Increased paper and printing costs have led to the adoption of new production methods, particularly for small print runs. These include the use of camera-ready copy, or reproduction on demand.

In centrally planned economies specialist scholarly works are published mainly by the appropriate state publishing house. Short print runs reflect shortages of paper and printing capacity rather than lack of demand.

On-demand publishing of research reports is well developed.

In developing countries few universities outside Africa and South East Asia engage in scholarly publishing. Some undertake their own printing. Only limited use has been made of newer methods of publication.

Many university presses concentrate on publishing textbooks. Sales of scholarly books are mainly limited to libraries and university bookshops, and few are sold outside the country of publication.

In industrialized countries, journals are an important sector of publishing, particularly for scholarly publishers. Production procedures are similar to those for books, but editorial control often involves independent refereeing. Distribution is usually direct from the publisher or through a serials agent rather than through the retail book trade. Relatively few copies are printed in excess of known demand, so that replacements soon become unavailable. Libraries and institutions form the largest market, although cost increases and budget reductions have led them to reduce spending.

In the centrally planned economies, particularly the USSR, journal publishing is changing from publication of institution-oriented sborniki to subject-oriented journals.

Most journals in developing countries are infrequent or irregular, sometimes with small sales. Many are in former colonial languages in order to attract maximum sales. However, distribution systems are poor, and many publications make a loss.

Most governments in industrialized countries have a large and varied publishing programme. Some material may be sold through the retail book trade.

Government publications form a substantial proportion of library acquisitions. Some countries have centralized much of their departmental publishing and distribution through a central agency, although in most countries some items, particularly non-conventional literature, can be obtained only from individual government departments. Some government agencies use commercial publishers to publish on their behalf; this can achieve wider distribution.

In centrally planned economies, official publications are issued through commercial publishing houses. They tend to be less numerous than in industrialized countries.

Few developing countries have a centralized government publisher, and their official publications may not be made available direct to the public. In some countries a Ministry of Information or similar focal point and the news media are relied on to inform the public. Although many developing countries have an official government printer, such printers often have no distributive role.

DISTRIBUTION

The retail book trade is the backbone of distribution in industrialized countries. Fixed retail prices with standardized discounts to booksellers have become the norm. The availability of books through other channels such as library suppliers and book clubs has reduced profits in retail bookshops.

Paperbacks are often sold in newsagents and supermarkets as well as in retail bookshops. Book clubs offer their members a limited choice of titles, at reduced prices. Simultaneous publication of book club and trade editions can reduce costs and retail prices for books. Many booksellers have felt competition from book clubs.

The growth of libraries has led to specialist library suppliers, which may offer discounts and/or services such as binding, cataloguing and labelling.

The abandonment of retail price maintenance in some industrialized countries has led some booksellers to stock fewer titles, and publishers to reduce their lists. In a few industrialized countries imported books are also sold at fixed prices. In some countries publishers and/or booksellers have combined to organize a wholesale distribution system, although there are independent book wholesalers in most countries. Teleordering (electronic ordering) systems are being implemented in several countries to reduce supply times.

In centrally planned economies most retail and wholesale book distribution is in the hands of one organization, although journals are sold through a separate organization. Retail prices and profits are low. Book clubs offer books at reduced prices, but have additional social and educational functions. Mail order is used mainly to serve rural readers far from bookshops. Library supply agencies handle a substantial part of library acquisitions.

In developing countries distribution is the weakest link between the author and the reader. The most effective distribution systems have either used existing newspaper distributors or been set up by publishers themselves or by missionary organizations. Many rural areas can only be served by mobile bookshops or one-man shops which sell mainly school textbooks. Mass marketing is mainly urban-based and rural distribution is a major problem. The high cost of postal services prevents postal book clubs from reaching their full potential. Use of publicity and trade booklists is often inadequate.

Large sums may be spent on publicity for individual books in industrialized countries.

Booksellers are usually offered a substantial discount by publishers; this is often higher in developing countries than elsewhere. Wholesalers are offered higher discounts than retailers, although there are few nationwide wholesalers in developing countries. Discounts are also commonly given to schools and libraries, and occasionally to other groups, or category of purchaser.

Only a few countries allow prices to be fixed for imported books, although publishers sometimes fix for imported books, although publishers sometimes fix or recommend prices within traditional market areas. More commonly, booksellers apply a standard mark-up to the cost of imported books.

Delays in supply can be frustrating; wholesalers can sometimes supply books to retail booksellers more quickly than publishers. The supply of imported material requires a choice between relatively cheap but slow surface freight, and fast but expensive air freight, though some airlines and post offices offer concessionary air freight and airmail rates for books.

ACQUISITION OF BOOKS BY LIBRARIES

In industrialized countries most library books are acquired by purchase. Libraries are making increased use of automated acquisition and accounting. Some booksellers and publishers offer approval plans and blanket order schemes to libraries. Libraries in industrialized countries rely less on the international exchange of publications for foreign acquisitions than in centrally planned economies and developing countries as it is more costly in terms of staff time than purchase. Cooperative acquisition schemes are sometimes used, especially for books from developing countries.

Centrally planned economies stress the need for coordination of acquisitions and use international exchange extensively to obtain foreign material

In developing countries readers depend heavily on libraries to meet their book needs. However, acquisition of library materials is beset with difficulties. The poor organization of the book trade in many developing countries makes

acquisition of indigenous books very difficult, and imports cause even greater problems.

Besides the lack of resources, the most common problems in developing countries are associated with the distance from overseas publishers and suppliers, and the consequent supply delays and high costs. High mark-ups by local booksellers and the limited number of titles they stock may deter libraries from using them, especially as books may be obtained more quickly if imported direct; however, difficulties in obtaining foreign currency and other import restrictions may prevent libraries from doing this. Delays and losses are common with imported library materials.

Most journals have to be imported by developing countries: the problems of acquiring these are similar to those for books only more acute. They include the need for prepayment, fluctuations in exchange rates and slow postal systems. Replacements for copies not received may be impossible to obtain.

International exchange of publications is sometimes used by libraries in developing countries, but libraries find it difficult to achieve parity with exchange partners, and useful partners are usually limited to those who share the same language. Parity is less important for official publications, but many exchange partners may be required to achieve comprehensive coverage because of the decentralized nature of government publishing.

Legal deposit laws exist in most countries, but enforcement is difficult and many books fail to be deposited in developing countries. Government publications are more widely deposited, but these are frequently put into exchange stocks because demand for them is low.

Gifts can be useful, especially where the receiving library can negotiate what it is to receive and the donor does not attach awkward conditions. Unnegotiated gifts usually bring more costs than benefits. In some cases, membership of organizations enables their publications to be obtained free or at a reduced price.

Cooperative acquisition schemes have not really succeeded in developing countries because of conflicts between cooperative and institutional needs and inequalities between members of cooperatives.

Purchasing trips to developing countries are frequently made by librarians in industrialized countries; the costs saved by purchasing locally can substantially offset travel costs. Purchasing trips by librarians from developing countries might be particularly worthwhile in neighbouring countries, to circumvent unsatisfactory trade and communication links.

Although libraries form the largest market for books after educational institutions, publishers often do not effectively target their sales to libraries. Equally, librarians often do not make the most effective use of services offered by publishers and booksellers. In developing countries, the development of libraries and schools is a major stimulus to the growth of publishing. The growth of indigenous writing, publishing, bookselling and libraries can be improved by local cooperation between these sectors.

COMMERCIAL BOOK SUPPLY: THE AVAILABILITY OF BOOK MATERIALS THROUGH COMMERCIAL CHANNELS, WITH PARTICULAR REFERENCE TO DEVELOPING COUNTRIES. 2. SURVEY OF LIBRARIES, PUBLISHERS AND BOOKSELLERS.

INTRODUCTION

This survey complements the literature review. It reports the findings of a survey of libraries and book trade organizations, aimed at identifying the problems experienced by libraries in obtaining publications through normal commercial channels. Particular emphasis was laid on the need for data from developing countries, though industrialized countries were also included both to provide a 'bench-mark' and to ascertain which problems related to book supply in general and which to particular areas, languages, levels of economic development or other pertinent factors.

The survey was conducted by means of a questionnaire compiled in three different versions: for libraries, for publishers and for booksellers in English, French and Spanish. Particular emphasis was placed on areas of significance that were not expected to be covered by the literature review.

Questionnaires were sent to 307 libraries in 143 countries. In each country (with three exceptions) two libraries were selected; wherever possible one of these was a public library and the other institutional (academic or special). As the book trade as such was not the subject of investigation fewer countries were surveyed for publishing and bookselling and two addresses in each country were used. 103 questionnaires in all were despatched to publishers or, where possible, to their trade association in 51 countries, and 108 questionnaires to booksellers or again where possible to their trade association in 55 countries. Six of the developing countries were selected for deeper coverage and six questionnaires were sent to each of the three categories.

The total number of questionnaires despatched was 518 and usable replies numbered 97 (19%) in all they comprised replies from 60 libraries in 51 countries, 19 publishers in 13 countries and 18 booksellers in 15 countries. The library sample was considered to be large enough to produce valid results while the book trade section is necessarily more impressionistic. In all cases however the figures must be treated with caution, particularly since a number of respondents stressed that they could give estimates only; the results must throughout be considered as indicative, not definitive.

LIBRARIES

Type of library

34 of the responding libraries were institutional and 26 public.

Expenditure on acquisitions

Annual expenditure varied widely, from under US\$5000 up to over US\$1,000,000, depending partly on their clientele and functions; expenditure does not

necessarily reflect the size of population of a country nor the numbers engaged in tertiary education. Legal deposit of national imprints does little to reduce the need to purchase. Economic development and levels of literacy were no guide to the funds granted. Nor was there any clear division between the regions of the world or between expenditure by public and institutional libraries; even public libraries serving state, sub-national or national needs do not necessarily get larger funds. In general the older libraries in industrialized countries tend to receive more money, but expenditure by some university libraries in developing countries is also high.

Imports as a percentage of expenditure

The percentage of expenditure on imports is high not only in developing, but also in most developed countries. The need to import is greater in countries with small indigenous outputs, but the ability to import publications is greater in developed industrialized countries. There is heavy dependence on imports by libraries in all countries at all stages of development for books and still more for journals. Exchange is used mainly for foreign publications and for journals, but appears to be used only when there is no alternative; although it is still highly regarded by the CPDs and developing countries.

Holdings

Rank order of the holdings of the libraries shows that, with some exceptions, they roughly parallel expenditure. This underlines the fact that library budgets do not reflect the size, age or needs of the library but only the funds at its disposal.

Sources of supply

A number of different channels are used to acquire material. They are determined in part by geographical location, level of trade development and simple experience. The bulk of indigenous books appear to be bought through the local book trade; direct supply from publishers accounts for most of the remainder. The local trade is also used to supply some foreign books, but in general foreign suppliers are used. Journal subscription agents tend to handle the majority of the journal trade. As would be expected, the countries where the book trade is long established local servicing of national and foreign publications is common, but use of the local trade is also high in developing countries, possibly as a result of local import regulations and currency controls. Direct acquisition from publishers seems relatively low. It is surprisingly low for journals where direct trading is conventional practice; the bulk of journals appear to be bought through intermediaries. Direct supply of indigenous books is not high, but it is surprisingly high for imported books, given the problems likely to be encountered.

Factors determining the choice of supplier

Among factors determining the choice of suppliers, efficiency is seen to be of overwhelming importance, followed by centralized ordering, speed, discount, currency problems and ease of documentation. On-approval, cataloguing and

binding services, reduced mark-up and concessionary post or freight rates were considered important by only a few libraries. However, no particular pattern emerged between these factors and the supplier chosen, when a choice was available.

Countries from which foreign publications are obtained

The UK and USA were by far the major sources of books of all kinds, followed after a considerable gap by the Federal Republic of Germany and France. Otherwise the circulation of foreign books occurred almost entirely within regions of the world. The same broad pattern applies to journals. For both books and journals, the historical pattern of dependence on publications of former colonial powers is declining and is being replaced by the dominance of the language of publication.

Official involvement in book supply

Several countries reported various aspects of government involvement in commercial book supply. A few are restricted as to choice of supplier, but this would seem to present no particular problems. Government tendering schemes are more common, but again are without apparent detriment. Foreign currency limitations, an obvious obstacle to imports, were noted by many developing countries; in view of this, the use of Unesco coupons is surprisingly low.

Obstacles to obtaining publications

The major obstacles to commercial book supply seem to be lack of information and unavailability, particularly for indigenous publications. These problems are by no means limited to developing countries; they are also of significance in industrialized countries. Credit problems were placed next in importance, particularly for imports. Lack of currency and import formalities came next, notably in developing countries. Inadequate delivery services were also seen as a slightly greater problem for imports. The least serious problem, even for imports, was considered to be loss or damage in transit. Other problems identified include the general insufficiency of funds, difficulties in remitting payment and distance from the major publishing centres.

Failure rates and speed of supply

The percentage of publications ordered which are never supplied was, for many libraries, very high. This applies to indigenous and imported publications. The pattern is similar for both books and journals. Factors mentioned include distance from the source of supply, customs formalities and inadequate air facilities. The majority of comments relate to lack of information and unavailability, particularly for indigenous publications issued by small publishers in short print runs with less sophisticated publicity. However, most publications are eventually supplied if available. The total time between placing an order and receipt of the material is generally good, but can on occasion be very long indeed. Imports are slower and show a much wider spread between possible minimum and maximum times. Internal postal services can add considerably to delays.

Exchange and interlibrary loan

Interlibrary loan and, to a lesser extent, exchange are used to supplement commercial supply, but in general exchange seems to be used only as a last resort.

Sources of information for purchasing decisions

The major influences on purchasing decisions are reviews, publishers' catalogues and readers' recommendations. National bibliographies were ranked next, though they do not exist in all countries, followed by subject lists, prospectuses and advertisements. Publishers' representatives were considered least important.

PUBLISHERS

National book development organizations

National organizations for book development exist in a number of countries, but are by no means universal. Though their activities may vary, all would seem to be generally concerned with ways and means to improve conditions for publishers and the book trade. A number are involved with cooperative book promotion and staff training.

Rights activities

The transfer of publishing rights can be an important means of supplementing indigenous publication. In some countries there is a control agency acting as a channel for copyright and contractual negotiations, though in most countries this is in the hands of individual publishers. The sale of rights is difficult to monitor, while editions resulting from buying rights should be evident in (eg) national bibliographic records. At present such activity seems to be limited in most countries, as does co-production deals between countries. Problems associated with selling rights relate primarily to lack of contact and limited interest of local titles. Shortages of funds and staff were not reported as major obstacles, but inadequate knowledge of contractual and technical aspects could be a barrier. Major problems associated with buying rights are the high financial terms asked for and a lack of information on suitable titles. Currency difficulties, delays in reply and protection of original editions are of less importance.

Printing life

In general school texts are relatively short-lived, while university texts and professional books expect a longer life, as do general fiction and non-fiction books. Printing capacity would seem to be less of a problem than the shortage of paper.

Export of indigenous publications

The export of indigenous publications seems to occur mainly in the field of fiction. Exports are sent by surface mail for low cost and by air for speed:

the cheapest methods are generally preferred. Air services are used by some developing countries for their reliability.

Government involvement in publishing

Publishing activity can be affected directly and indirectly by government action. Price-fixing is generally left to the publisher, though in a number of countries it is determined by government, sometimes for particular categories such as text books. Government approval prior to publication is needed in a number of countries, though this is usually restricted to text books, which are thus safe and profitable, having steady and assured sales.

Trade practices and organization

International Standard Book Numbers are not universally adopted, nor are trade journals giving bibliographic listings of books published in all countries. Similarly national directories of publishers are lacking. Most information about publications is clearly left to the individual publisher.

Not all countries have publishers' associations, and where they do exist they are not always associated with international trade associations. No particular activities were reported other than the general ones of promoting members' interests.

In most cases publishers expect to train staff mainly on the job. Training is rarely seen as the function of the trade association; more often this is a responsibility of the national book development organization. Foreign study visits tend to take place on an occasional rather than a regular basis.

BOOKSELLERS

Trade outlets

Most countries have not only a widely ranging number of stockholding retailers, but also some system of wholesalers. Most retailers are privately owned, with occasional government involvement. In almost all countries some of the retailers handle journal subscriptions. Library suppliers are found in a number of countries. These often handle journal subscriptions though most countries also have other agents for this category. In many countries it is difficult to assess the number of outlets, as there are many one-man operations and mixed-trading outlets selling books alongside other goods.

Prices and discounts

In comparison with the replies from publishers, booksellers showed more involvement than anticipated with price control. A publisher may, except where retail prices are legally controlled, merely recommend a price which may or may not be observed by the bookseller. Discounts may be given for bulk purchases and as 'loss-leaders' to encourage additional sales. Most retailers give discounts

to some customers, such as libraries, students, teachers and professionals, though in some countries they may be limited to the trade.

Extra costs associated with special orders are usually passed on to the customer. Mark-up on imported publications to cover the extra costs of importation may either be standardized or set by the government, sometimes in combination with the book trade, or it may be left to the book trade as a whole or to the individual importer. In many cases the mark-up is the actual cost involved, but it may be increased by a particular percentage or by converting the original foreign price at an artificial exchange rate.

Methods of ordering and supply

Booksellers tend to order indigenous publications by mail, usually surface mail, though airmail is sometimes used. The use of computerized ordering systems is at present limited. Greater use is made of airmail for ordering imports but surface mail is also widely used despite the delays it incurs. Airmail is used for speed, urgency and in some countries for reliability. Telephone and Telex are also used for more urgent orders. Surface transport is used to supply publications though again airmail is sometimes used. In general the supply time for indigenous publications is good and the maxima quoted are significantly below supply times quoted by libraries; the reasons for this difference are not clear.

Trade practice and organization

Training of staff is carried out mainly on the job though there is also some involvement by trade associations. As with publishers, foreign study visits tend to be occasional rather than standard practice. Again as with publishers, trade associations are not universally found, nor where they exist are they necessarily active and effective. Activities tend to centre on promoting members' interests, negotiating with publishers and with governments.

THE FUTURE

A number of libraries anticipate reorganization leading to rationalization and possible budgetary increases. The development of regional cooperation was mentioned, notably in Africa and South East Asia.

The book trade's hopes for the future lie in the formation of national book organizations, more emphasis on childrens' books and greater production by local authors for local readers. However the hard core problems are likely to remain. Delays and difficulties in transport hamper distribution, especially exports. Continuing rises in costs and prices of materials, transport and all other elements continue to cause increases in prices, while inflation is also eroding purchasing power. These problems are felt in industrialized and developing areas, though they are exacerbated in the latter.

CONCLUSIONS

Book production, distribution and purchase are almost unique, in that they are concerned with a large number of individual items and each purchaser rarely wants more than one copy. Markets are unpredictable. Extremely wide distribution and an 'internationalism means that many books are marketed worldwide; this creates additional problems. Institutional purchases account for a very significant proportion of all sales.

Book production and supply serve a variety of functions: to develop and maintain literacy, to educate children, to enable adults to keep themselves educated, to occupy leisure pleasantly and profitably, to keep citizens informed of policies and developments relevant to them, to provide government, industry and organization of all kinds with information needed for technological, economic and social progress, and to further research. Most aspects require a concentration on material in indigenous languages, while some require a large amount of material in foreign languages as well.

The problems associated with commercial book supply include: the small market for many kinds of publications in many countries and the dangers of over or under-production; the lack of sufficient availability of paper and other raw materials; the lack of authors, and the preference of many in developing countries to be published abroad; the lack of purchasing power both of individuals and of libraries in many countries; the difficulty of identifying and obtaining much non-professionally published material; the shortage of retail outlets in many developing countries, particularly in rural areas; the need to import significant quantities of material and associated import quotas and tariffs, customs regulations and currency restrictions; delays in transport, which may be considerable in developing countries and between countries; and the lack of adequate publicity and bibliographic control.

Book supply is intimately bound up with the well-being of a country. Indigenous publishing in most countries (and probably some developed) countries needs to be extended and improved. The development of publishing needs to be accompanied by improvements in transport and communications, an increase in the number and efficiency of retailers and the removal of unnecessary and harmful barriers to the movement of books between countries. An increase in the size of the market in developing countries requires the growth of publishing and the improvement of distribution. Good publicity is vital to the development of book publishing and supply. Publishers, retailers and libraries are poorly organized to achieve cooperation and concerted action and may be unaware of ways to improve operations and services. Greater government involvement is required and external aid will be needed in some countries. An integrated national plan is needed.

NATIONAL ACQUISITION POLICIES AND SYSTEMS: A COMPARATIVE STUDY OF EXISTING SYSTEMS AND POSSIBLE MODELS.

INTRODUCTION

This study attempts to define and identify national acquisition policies and describes the elements of policies and systems that need to be considered by national policy-makers. Current practices are described and used to derive a series of basic models of national acquisition policies and systems.

Two different but interdependent methodologies were used to obtain the information on which the report is based: a literature review back to 1950, and a survey by questionnaire and correspondence. An initial body of literature was identified and reviewed and this was supplemented by a broader search for references, using secondary sources and searching certain journals issue by issue. The results of this search showed a great paucity of concern with and discussion of the topic. While small, local schemes are relatively well documented, descriptions from a wider perspective of national policies and systems have been neglected. In order to gain a more complete and accurate understanding, librarians known to be aware of this issue in 21 countries were asked by means of a questionnaire based on a number of basic aspects of current practice, to provide further information. 95% of the letters were answered, although some correspondents gave more emphasis to certain areas of enquiry than others.

The report presents definitions of a national acquisition policy and a national acquisition system. A consideration of the role of national libraries is followed by an outline of acquisition programmes in practice. The mechanics of acquisition systems are considered and models are proposed.

DEFINITIONS

A national acquisition policy creates the programme through which the nation's library resources are gathered and controlled in order to be made available. It prescribes formally the organized collection of resources intended for the nation's use (and maybe beyond). A national acquisition policy is promulgated by a national body, which may be a central authority or may be, for example, a council formed by cooperative agreement between executives. An important distinction must be made here: the acquisition policy of a National Library is not necessarily a national acquisition policy. However, National Libraries play an important part in any consideration of national acquisition. In fact most countries do not have a national acquisition policy.

A national acquisition system is a planned and explicit set of procedures and practices which covers either the actual mechanics of fulfilling the acquisition policy, or the procedures and practices for acquiring library materials in the absence of a policy. Where there is no acquisition policy in a country the national acquisition system becomes of paramount importance and may, if it is based on a sound and long-established footing, reduce the need for an explicit policy.

THE ROLE OF NATIONAL LIBRARIES

The presence of a national acquisition policy does not depend on the presence of a National Library or Libraries, although where a national policy does exist one might reasonably expect the National Library to participate if not lead in its formulation, development and implementation. The acquisition policy of the National Library could be central, peripheral or playing a minor but equal part with other libraries in the overall scheme. It might be a library of first, last or only resort.

In view of scientific, technical and publishing developments in the twentieth century the traditional role of the National Library as preserver of the nation's heritage has come to be reappraised in many countries.

Some old and some new National Libraries attempt to maintain comprehensive coverage of materials in all subject areas and from all parts of the world. Many of the older established National Libraries give priority to in-depth collecting in the arts, humanities and social sciences, while special libraries serve other subjects in detail. Where circumstances permit, the national library may also assume responsibilities in the fields of science and technology.

In many developing countries the trend is towards national information and documentation centres in particular subjects.

A wide variety of institutions with different histories, different lines of development and different functions exist under the name of 'National Library'. Some are single organizations covering the spectrum of activities from archival and repository responsibilities through inter-library lending to documentation and information services. Some focus on the national heritage, some embrace foreign materials comprehensively. Some are encyclopaedic in coverage, others serve a limited subject area.

The term 'National Library' is often applied to organizations which may also serve other functions. Given this wide variety, it is not surprising that the acquisition policies of national library systems range from pivotal to incidental so far as any national policy is concerned.

ACQUISITION PROGRAMMES IN PRACTICE

It is evident from the literature that in practice acquisition policies are in a close and complex relationship with interlibrary lending. On a pragmatic level an acquisition policy may aim to acquire material that will be in high demand. However, the availability of a wide-ranging, efficient and cost-effective inter-library lending service may make local acquisition of medium- and low-usage material less necessary. Countries with a low publishing output tend to have greater need for foreign materials than for national imprints.

Acquisition policies reflect tradition, politics and above all pragmatics, with philosophy often assuming a minor role. In few countries is there a comprehensive acquisition policy on a national scale in which achievements meet stated

objectives. However, within many countries arrangements exist on an informal and usually sub-national level, often arising spontaneously between related libraries rather than being administered by an authority.

Groupings of libraries co-ordinating their acquisitions may be defined by a variety of criteria of different types and so are not mutually exclusive. The basic categories are:

- libraries within a particular geographical area;
- libraries of a particular type, i.e. National/Academic/Research/Special/Public;
- libraries covering a particular area of knowledge.

Obviously countries with developed and well-supported library systems are able to foster arrangements for coordination and cooperation in an entirely different way from countries with, say, few libraries, poor provision for acquisition from overseas (including lack of foreign currency) and wavering government support. Coverage of the policy may be determined by subject, form of material, level, language, country of origin, date and perceived likely usefulness. Practical influences (eg finance) are likely to be as important in the ultimate decisions as philosophical ones, and the choice of the criteria themselves will reflect existing provision and predicted needs.

The prospect of attempting to acquire every significant item (however 'significant' is defined) from every source in every language and regardless of form is daunting. In many circumstances a good case for this cannot be made. If a user library knows it has reasonably fast and cheap access to less frequently used source material outside its own country, it sees no need for domestic acquisition of the material.

Centralization and Decentralization

The organization of libraries tends to reflect the ethos of a country. Countries with a federal constitution or regional orientation tend to be concerned with regional as well as national sufficiency. Countries with a tradition of centralization, on the other hand, can accept more readily a system based on a single, national resource.

When only one institution is involved, its objectives can be worked out simply and its systems designed and monitored accordingly. There should be no conflict between priorities and no problem of definition of coverage. There is one source to which libraries can apply, whatever the subject of a request. It is fairly easy to build up a central collection of heavily used serials which will satisfy, say, 80% of total demand. A centralized system can generally offer faster access and supply.

In many countries financial resources may not be available to establish a new central unit, and/or it may prove impossible to amalgamate existing collections if they belong to different (private) organizations. Countries which could afford a new unit might in any case prefer to build on existing strengths or

might find a central solution impossible because of a federal structure. Where there is a network of libraries, each tends to be based on a strong historical collection and can concentrate more fully on the acquisition of current material for the particular discipline(s) covered. Distribution of responsibilities allows a high degree of specialization, and the libraries concerned can be supported by subject specialists in their parent institutions.

Systems of Regional Libraries

Large countries, where distance is seen as a constraint on accessibility, are also likely to develop parallel systems in their states or regions, whether within a national framework or not.

However, politics, geography and attitude are not necessarily the only influencing factors. Cooperation between libraries is well established in most countries, and it is not surprising that groups of libraries combine at a local level to share experience and pool resources, in an effort to exploit their collections to mutual benefit.

Multi-National Networks

Responsibility for providing access to less used material could be shared between a number of countries. Such multi-national library schemes have the best chance of success, where there is a tradition of formal economic and political co-operation between countries. The question then arises as to the relationship of the national acquisition policy of a member country of a multi-national network to its supra-national responsibilities. Each must accommodate the other, but it is not clear whether the national policy should always take precedence; nor may it always be possible to design a multi-national policy that is totally compatible with national practice and that fills gaps without requiring new national systems.

Systems of Subject Libraries

On the continuum from one central source of document supply to complete decentralization the first stage is a system of national subject libraries.

Most countries have networks of discipline-oriented special, research or university libraries, but the degree of formality varies.

A network could be established in which nominated specialist libraries would have acquisition and lending responsibilities at a national level.

University Library Networks

In many small and developing countries university libraries are a major element in the national library system. Their acquisition policies are significant for the country as a whole.

THE MECHANICS OF ACQUISITION SYSTEMS

Whatever groundwork is done, and however rational an acquisition policy may be, its effectiveness in the end depends on the actual mechanics of its systems. In a country with an established system of libraries particular attention has to be paid to the machinery for implementation of the policy and to compatibility with existing practice.

Preconditions

In most countries present circumstances are far from encouraging for the introduction of national acquisition policies and systems which are to be workable and useful in the long term.

A cooperative spirit may be lacking; libraries may be jealous of their autonomy (this is true of both developed and developing countries); and there may be groups with different ideas about the organization of a national system. Various ministries may be ultimately responsible for the development of library and information services in different sectors. The size of the country and ineffective postal services may be significant constraints. The level of literacy may be low, particularly in the languages of much of the world's output of research literature. Regional considerations may include ethnic orientation and different languages, as well as independent attitudes. There may be only partial collections of domestic imprints and no workable legal deposit system. No funds may be available for foreign exchange. The interlibrary loan service may be inefficient. It may be impossible to guarantee consistent funding over a long period and library development may in any case be a low national priority. For many countries only a limited policy is a practical proposition.

The Policy - Content

Obviously no general prescription can be given, because each country has its own national values and political structure, economy and pattern of library and information provision. One would expect current serials to form the core of most acquisition programmes, with an emphasis on subject areas in which a country's industry and/or research specializes. Monographs, 'grey literature', non-printed media, ephemeral materials of all kinds, and retrospective gap-filling all tend to be incorporated into a programme after it is well established. The relative emphasis that is laid on domestic and foreign imprints depends on a composite picture of domestic publishing, languages, place in the world research league and availability of foreign exchange, as well as political constraints such as censorship. However, the objectives of programmes may be stated in terms of a relationship between production and predicted needs.

The System - Method

Unless a system is totally centralized, the coverage of the acquisition policy has to be divided up in some way amongst participating libraries. This may be by subject, country of origin, language, date, type, or perceived usefulness. Most forms of division will encounter problems and will not necessarily best serve the needs of users. Informal arrangements may simply stress deeper

coverage of existing interests. Decisions have to be made as to which libraries are to be involved - for example, those supported by government funding, those with a strong tradition of cooperation, those already serving large numbers of users, or existing centres of excellence. The choice must depend on the particular circumstances of the country concerned.

Mechanics of Collection

For the collection of domestic imprints legal deposit is common, but its reliability varies greatly; few countries would claim to have complete coverage. In most countries it is the publisher who is responsible for depositing the requisite number of copies, but in some cases the printer and/or the author are involved. Deposit laws themselves also vary in coverage. Outside standard purchasing procedure, for foreign publications international exchange is relied upon quite heavily by some countries, particularly those with problems of foreign currency. One method used successfully to acquire foreign publications with the minimum of effort is blanket purchase.

Another method used is the acquisition tour, in which librarians visit a particular country or group of countries from which they wish to ensure good coverage of relevant publications, and select and order what they want at source.

Special methods need to be employed for retrospective acquisition, using antiquarian book markets, reprint or microfilm programmes and, if there is no other way, photocopying.

Mechanics of Distribution

There are two practical prerequisites for an effective national acquisition system. One is good guides to resources; and the other is a good interlibrary loan system. The existence of collections alone is not sufficient.

Monitoring the Policy and the System

If a policy is to cater for current needs it must be monitored continuously. A feedback system is needed whereby unfulfilled loan or photocopy requests are notified to a central unit so that an overall picture can be gained. Effectiveness of the interlending system itself is also important. Mechanisms should be built in that enable unpredicted demands to be met reasonably quickly.

MODELS OF NATIONAL ACQUISITION SYSTEMS

Introduction

In many countries, while a planned national acquisition programme may be thought eminently desirable by the library and research communities, the development of library services may be a very long way down the government's list of priorities. It is difficult to see how a workable system can be established without government support and, more important, financial backing.

Context

The introduction of a national acquisition policy and system requires simultaneous consideration of other library and information functions. For the design of any system to have a chance of being effective, it must be tailored to meet identified needs under given conditions. As the relationship between those conditions and needs is unique to each country, so must each country's solution be unique.

There are various basic methods of organizing national acquisition systems to meet the objectives of the national acquisition policy, some of which reflect existing practice. A mixture of methods is likely in most countries.

1. Provision may be the responsibility of a central collection of second resort (ie after the local library). Such a collection may serve a single country, or it may be designed for a group of neighbouring countries. It would aim to meet a high proportion of demand (85%). Alternatively, in a country with limited financial means and relatively low demand the collection could be limited to a core of heavily used journals. Reference functions would normally be fulfilled by a separate institution or institutions.
2. Provision may be concentrated on perhaps four or five central subject libraries, whether these are established for the purpose or existing libraries designated as having national functions. In many cases these could cater between them for most of a country's research needs. In developed countries with established libraries the system could be based on existing centres of excellence. University libraries would play an important role in developing countries, which are more likely to adopt a gradual approach, while developed countries are more likely to attempt more comprehensive coverage at the outset. Additional funding would be needed either to create such collections or to allow existing libraries to be developed to fulfil national responsibilities. Coordination of subject responsibilities and the definitions of boundaries are very important.
3. An alternative to division by broad subject category would be the distribution of responsibilities at a regional level, possibly with a central unit of last resort. Such a solution requires large regional libraries to act as a first back-stop to local provision and to co-ordinate acquisitions and interlibrary lending within the region. Unsatisfied requests can be channelled to other regions and finally to a central unit of last resort. Regional libraries would be supported in part by the region and in part by central government. Such a solution would be very costly in total as it would result in a high level of duplication. However, regionalization, other than as a result of political structure and/or national ethos of decentralization, may be suitable in very large countries, in countries with poor communication facilities, and possibly in countries in which library provision is plentiful and a strong tradition of regional cooperation already exists.

Such a model can be adopted to fulfil multi-national functions, with one central library serving as the unit of last resort for a grouping of countries with close links. Each country would coordinate its acquisitions with the other members of the group, for example by taking account of the particular interests and specialist collections of individual member countries.

4. A system could be based on decentralized allocation of responsibilities. This does not require the establishment of new collections, but builds on existing strengths, conferring national status on or giving national responsibilities to selected libraries. The division of responsibility may be by subject, country of origin, language, date of publication, form of publication etc.

The most common division is by subject, but this is bound to encounter problems, such as the overlapping of fields whose boundaries are not clear cut and are in any case liable to change with the growth of knowledge. Nor does subject division necessarily best serve users, as related materials may be scattered. Decisions also have to be made to which libraries are to be involved. The greater the number of libraries, the more complex the programme. A strong central organizing and co-ordinating body is essential. Such a scheme may be suitable in countries with a relatively large number of medium-sized libraries and a strong tradition of interlibrary lending.

The report includes a set of guidelines that may be of help to those involved in making decisions about national policies and systems. They are presented in the form of a series of questions, the answer to which will indicate which of the elements of the models would be appropriate, and more important, workable. The questions relate to political structure, spirit of cooperation, existing resources, the existence of an effective interlending system, the administration of library services, level of domestic publishing, financial restrictions, use of foreign sources, and the existence of a national information system.

NATIONAL REPOSITORY PLANS AND PROGRAMMES: A COMPARATIVE STUDY OF EXISTING PLANS AND POSSIBLE MODELS.

INTRODUCTION

The report is generally restricted to the organizational and management aspects of repository planning. It does not examine in detail subsidiary aspects such as optimal relegation models, cost analyses, technical innovations and buildings, though references to these issues were identified and are included in the bibliography of the main report. The prime concern was the identification and description of the strengths and weaknesses of existing systems. Information was collected from a detailed analysis of recent literature (mainly post-1960), from replies sent by 59 senior librarians in 38 countries in response to a standard letter, by personal contact and by visits to repositories.

There seems to be little consensus among librarians and administrators as to the cost-effectiveness and practicality of any particular model to suit an individual country's requirements. Optimal solutions capable of universal adoption are not a practical proposition. The key factor is that each country needs to take a positive position on the issue and adopt a systematic approach.

Most responses were received from developed countries. Those from less developed countries generally indicated that repository planning was not yet a central issue.

DEFINITIONS

All libraries serve, to a greater or lesser degree, the functions of storage. The repository function is the preservation of publications for a long time, or indefinitely, to serve future users as practised by libraries, archives and other information centres. The importance attached to this function will vary: national, academic, research and major public libraries are much more likely to attach importance to it.

Very few libraries serve solely as repositories; libraries may achieve a repository function in cooperation with one another by sharing storage facilities, or by allocating the retention of material among themselves or they may jointly own a common repository in which stock may be commonly owned and integrated or kept in separate sections with ownership retained by the depositing library.

Repositories may be national, regional or local. Transport and communications facilities will play an important role in determining which is regarded as local. There is little consensus as to what constitutes lesser used material. It is not synonymous with old or older material though this criterion is often applied; ageing does not necessarily mean obsolescence. Material seldom asked for in one library may be in constant demand in another. Demand and use are conditioned by exploitation: material held in a passive repository will quickly exhibit the symptoms of low use although in a dynamic library it might still be in regular use.

Repositories may be 'active' or 'passive'. By passive is meant those repositories which have a purely storage function. An 'active' repository is one which would be closely linked, at least to the national interlending function and possibly play a part in national acquisition policies.

REVIEW OF CURRENT PRACTICE: RESULTS OF THE SURVEY

Shared or cooperative repositories are less common than repositories serving a particular library. Many cooperative repositories are not truly integrated, and some stock remains the property of the original library. Cooperative repositories were found in nine countries; some of these had a hierarchical system of national, regional and local repositories - sometimes linked, as in the USSR, and sometimes independently organized, as in the USA. At least 19 of the countries surveyed had some storage facilities, sometimes belonging to the National Library, sometimes in the field of university libraries.

About 35% of the countries surveyed indicated plans for repositories. They are at varying stages of development and the level of priority attached to them also varies.

Where repositories exist they seem to have a mainly passive role. Slightly over half participate in the interlending system of the country and many fewer have a positive acquisition function. Some 16 countries have positive programmes for the disposal of duplicates both internally and to other countries, be they formal clearinghouses, as in the USA and Canada, or the National Library, as in New Zealand.

There is an almost complete lack of statistics of use. Almost all respondents reported that no statistics were kept or that they were not easily obtained. Management information on the performance of repositories is thus not available. Assessment of the effectiveness of repositories is therefore very difficult and will create difficulties in future planning. The relinquishing of ownership is a major practical difficulty in many countries. Many librarians link the prestige of their office with the size of their collections. Moreover, the image of repositories does not seize the imagination in the same way as some other more dynamic aspects of librarianship.

Substantial economic benefits are generally assumed to be a major advantage of storage libraries. This is held by some to be not proven. There is very little accurate information on costs that can help to decide whether, when and how to relegate material. Nevertheless, it is possible to show by analysis that some forms, such as a single national repository with simple systems and duplicates removed must be cheaper than others such as several regional repositories.

Other unresolved issues are the need for union catalogues of the holdings of repositories and the depth of cataloguing in any union catalogues that exist. Their production can improve access but may add considerably to costs.

There is relatively little evidence of the development and use of innovative storage methods. If land and building costs are not high little need is felt for the compression of documents into the minimum of space. Microfilming

original material is less economic than storing originals.

The issue of relegation is also a key problem area. Opinion on what constitutes less-used material is divided. A certain amount of research has been conducted in this area, but more factual information is needed.

Remote storage in rural areas is practised in some countries, such as Finland, Norway and Sweden, though this presents staffing and transport problems. Many prefer to site repositories close to or even attached to a main library, as with the National Library in Vienna; this will often be associated with high land costs, though existing buildings may be modified, as is proposed in the German Democratic Republic.

KEY FACTORS

The willingness of librarians to relinquish ownership is a key factor. Librarians may feel they are abdicating direct responsibility for permanent conservation if they pass control to a third party. They may fear that material will be lost or not easily obtainable when required and that a reduction in their own stocks may lower their prestige. The formulation and acceptance of better performance and output measures may help overcome this. In many countries librarians may be unable to relinquish ownership because of strict accountability for material held and the policies that control the initial purchase of material. Legislation or the major modification of regulations may be necessary.

A second factor is the provision of appropriate buildings by an appropriate agency. Obviously repositories cannot be created without buildings provided by some government body (or similar) or jointly by libraries.

A third factor is management capability. Competence in conservation and the ability to retrieve and rapidly deliver material are vital, as is the ability to handle large amounts of widely disparate material.

A fourth issue is what to relegate. The ease or difficulty of the decision and the costs involved are crucial to cooperation in any programme.

A fifth factor is user needs. Demands from local users to retain direct access can create pressures that are difficult to ignore. The balance between economic considerations and convenience to users is still a matter of debate.

THE ORGANIZATION OF REPOSITORIES

Repositories may be national, regional or local. Considerations other than library needs may dictate the choice. While a single national repository covering all subjects may be an ideal solution, a federal constitution may require repositories at the state level, as seems probable in the Federal Republic of Germany.

Size of a country is another factor that may preclude a single national repository. In the USSR a highly structured hierarchical system based on the Lenin

State Library has been adopted, with national and Republic repositories and zonal repositories covering regions in the larger Republics.

The existence of local storage may encourage librarians to utilize a shared repository facility, especially if they are allowed to retain ownership. Readers can travel to the repository and access can be provided within one day, as at the University of London Depository.

Poor postal systems constitute a major disadvantage with a single national repository. Many librarians also fear concentration on one source, in particular its vulnerability to natural or man-made disaster.

In general librarians especially where national libraries are the main proponents, prefer repositories to cater for all subjects, rather than their being based on subject specialization, which appeals more to subject specialists.

The need for conservation is of paramount importance. Unique, last copies must be retained in good enough condition to allow access to be afforded to the information contained in them.

While conservation and permanent storage are important factors, the material is nevertheless retained for use. While successful relegation policies of low-use material should result in low borrowing figures it is clear that repositories should be closely linked to interlending systems. Provision from a central store can release considerable amounts of space at individual library level.

The disposal of duplicates by repositories is possible only if ownership of material is relinquished. In Britain some 75% of material at the University of London Depository remains the property of the original institution. Material discarded to the British Library Lending Division, if not added to the loan stock, can be distributed to other libraries in the United Kingdom and abroad. In other countries, such as the USA, there is a separate agency for handling duplicates.

Few countries seem to recognize a link between a repository programme and gap-filling in national collections. Few countries also have the resources to acquire material that might be transferred directly to a repository. Some repositories such as the US Center for Research Libraries (CRL), have carefully designed selection policies and will only accept certain types of material, which has to be catalogued by the donating library. The CRL accepts material only at times of its choosing, to ease its work load; a reduction in the work load of participating libraries might encourage more to participate.

The question of management and control of repositories does not apply when they are merely appendages of one library. When more than one library is concerned management becomes a more complex issue. Management may be directly responsible to the department from which funds are obtained, or may be in the hands of a board of participating libraries or representatives of parent institutions with proportional powers based on contributions or use.

Many librarians and administrators see a repository serving all types of library as impractical because of the different types of material to be included. Integrated resources can however be more cost-effective and there should be no difficulty in providing space for different types of library, since the same types of physical material are being stored. However, agreement to serve different types of library may be difficult to secure if different ministries are involved.

MODELS

The main aim of repositories is to save money; by avoiding unnecessary duplication, by extending the range of material available, by using accommodation on cheaper land and by using cheaper storage methods. Individual libraries may gain in space, make better use of purchasing funds if the repository is linked to a common acquisition policy, and catalogues may be less bulky and simpler to use. These possibilities are open to individual libraries working in cooperation, though the difficulties of achieving and maintaining a programme of dispersed cooperative acquisition and retention are substantial. Alternatively the State may consider repositories to be an essential part of library and information policy and act accordingly. Other possibilities exist between these two extremes.

A diversity of solutions must be expected to a set of problems which are seen in different ways. On the basis of the facts and considerations presented, a number of basic models may be identified.

1. A separately administered, national, centralized repository may be established to which all libraries would be required to send literature which met particular criteria, eg older than a stated term of years, unused for a stated period, etc. Compliance with this requirement would be monitored. The acquisition policies of individual libraries would be planned to accommodate subsequent transfers of stock and, where necessary, ordinances or local laws would provide for the necessary transfer of ownership. The repository would handle all material sent to it, and this would minimize the work required at individual libraries. The features of such a system are: (a) considerable central direction; (b) considerable loss of action by individual libraries; (c) probably substantial national and local cost savings; (d) a clear-cut, easily understood system which would provide a one-stop location for materials which came within the criteria adopted; (e) a clearinghouse for duplicate disposal and national interlending base could be grafted on to this model relatively easily; and (f) international cooperation would be facilitated through a designated focal point for document delivery. Such a system would seem to be particularly suitable for smaller countries with centrally planned economies, and for less developed countries where library resources are not well developed and existing patterns not set into routines which are incapable of adaptation and change.

Alternatively a nationally based system could be more flexible, allowing all libraries to send material which they regard as little used (by their own criteria) or for which they no longer have space to a national store as they wish. A sub-option of this model might provide for the

retention of ownership of materials sent to the repository for a set period of time to allow for any change of mind by librarians should subsequent demand for deposited items require their return; this would allow cruder selection at the first stage of disposal and so save money. Such a repository could be separately managed or it could be part of the National Library, whether a separate department or integrated into the main stock (unneeded duplicates having first been removed). The features of this model are: (a) less central control; (b) greater freedom for individual libraries; (c) considerable cost savings (though less than in the previous model); (d) a less clear-cut system for locating materials; and (e) possibilities for some duplicate disposal and international cooperation.

Such a system would seem best suited to small to medium-size developed countries with non-federal political structures, with substantial library resources and well-established patterns of information provision where changes to the systems for storage are possible and desirable, but where such changes are likely to require considerable changes of attitude (and possibly also of local regulations and laws)

3. A third system would involve the establishment of a coordinated network of local and regional repositories to handle all types of literature within predetermined geographical areas. Such provision would recognize geographical, transport and communications difficulties, and also the likelihood of attaining a reasonable level of self-sufficiency in literature provision in each area. Deposit could be mandatory or voluntary and a sub-option for retention of ownership could be offered if required.

Such a model would (a) require little central control and (b) possibly afford better local access to material; but it would be expensive to organize and maintain. There would be considerable duplication if materials between repositories, and at the same time many requests for deposited material would have to go to more than one regional repository before being satisfied, unless an expensive union list of the holdings of all repositories were constructed.

This model would suit medium to large developed countries whose users demand local access and where the additional resources needed to provide for this could easily be found. It is likely to require coordinating facilities from a single national government or statutory board. These countries which have, or could provide, such coordination are likely to find it more appropriate.

4. A fourth possibility is the distribution of the repository function among several, perhaps many, libraries, each of which assumes or is given a responsibility for retaining, or receiving from other libraries in the system, items in given categories (eg by subject, or language country of publication). This option may be national, regional, or by type of library (eg academic). Capital costs of construction may be saved, and collections with existing strengths can be further reinforced in this way. However, the costs of organization and retrieval

may be very high in relation to the benefits attained. There may also be problems in determining precise responsibilities among participating libraries, especially if there is no overriding authority.

This model could meet some, if perhaps not all, of the repository needs of developed countries, with substantial existing library resources and where governmental influence is extremely limited or non-existent. It could also serve as an interim development in some countries until one or other of the alternative models suggested can be provided.

NATIONAL INTERLENDING SYSTEMS: A COMPARATIVE STUDY OF EXISTING SYSTEMS AND POSSIBLE MODELS.

INTRODUCTION

This study attempts to evaluate current interlibrary lending practice and proposes various models of interlibrary lending provision. A major review of the literature was undertaken, but there are few comprehensive accounts of current practices and their effectiveness. Without this information it is obviously difficult to comment with any certainty on the relative effectiveness of different types of system.

The study outlines the elements necessary in an interlending system and assesses the possible impact of technology on interlending. Factors relevant to the design of systems, and criteria for judging their effectiveness, are presented. Current practices are summarized as far as possible, and in the light of such information potential basic and combined models are suggested. Factors telling against efficient systems are enumerated, and the relationship between national interlending systems and other elements requiring national policy decision making are identified. The mechanics of interlending are also briefly considered. On the basis of these findings conclusions are drawn and further studies are recommended.

Access to documents has lagged far behind improvements in bibliographic control. IFLA's programme of Universal Availability of Publications (UAP) is an attempt to correct the balance. Most countries have interlending practices that have grown up over the years. There are very few adequate descriptions of interlending systems, and only in very rare cases is it possible to build up a clear picture of the structure of interlending, to estimate demand, or to assess performance.

ELEMENTS OF A NATIONAL INTERLENDING SYSTEM

Collection of documents. It is obvious that documents cannot be lent unless they have been acquired. Existing holdings of libraries in a country are rarely adequate for the supply of documents wanted on interlibrary loan. They may be supplemented by cooperative acquisition schemes or by a central loan collection or collections. The difference between cooperative and centralized resources are fundamental to interlending systems.

Machinery is needed not only for acquisition but for the retention of documents withdrawn by libraries.

Means of locating documents. There are three main means of locating documents:

- (a) By union catalogues. These are the commonest and often the only means of access to library holdings. They may be comprehensive or limited in various ways. They may be published, unpublished, or maintained by computer. Problems include currency, coverage, difficulty of use and cost.

- (b) By directing requests to specialized libraries, or to more general libraries with strong resources in special fields, in a more or less formal manner. Specialized schemes may be associated with local specialist demand or coverage may be divided on an arbitrary basis. Such schemes are likely to be closely connected with national or cooperative acquisition programmes.
- (c) By directing requests to central loan collections, with more or less comprehensive acquisition of given categories of material.

Procedures for requesting. Though an essential element, these are not greatly affected by nor do they greatly affect the total interlending system. Concentration on one or a limited number of sources of supply facilitates the use of standard forms and procedures.

Procedures for supplying. Since speed of supply is affected by procedures in the supplying library, they are more clearly related to the design of the system.

Communications. There must obviously be effective means for transmitting requests and documents. Mechanisms for transmitting requests include mail, road transport, telex, telephone, facsimile transmission and computer. The latter show promise for the future, but mail and Telex are likely to be the main methods for the immediate future in most countries. For transmitting documents, mail, road transport, and schemes combining the two are the main alternatives. Facsimile transmission costs are likely to continue to prohibit its widespread use. Electronic transmission from machine-readable document stores such as videodiscs, will develop but will affect only a minority of documents in the foreseeable future.

THE IMPACT OF TECHNOLOGY ON INTERLENDING

The main technological changes likely to affect interlending are:

Possible changes in the pattern and form of publication. These include publication in microform, which is used for a minority of publications, publication in summary form (eg synopsis journals), which may prove to be a better alternative to microform, though it has yet to become acceptable to authors, high density storage such as holographs, bubble memories and crystals all of which are still at the experimental stage, and the on-line "electronic journal", which could radically affect library use, though it is unlikely to supersede large circulation journals and monographs.

Changes in locating, requesting and supplying documents. The main technological developments are facsimile transmission, which is too slow and costly for all but a minority of requests, television technology, other forms of document transmission (eg satellite - though its use within countries is hard to justify in economic or other terms), and computer technology. The last is likely to have the greatest impact, though it requires the development of systems and the provision of terminals, can provide access to only a limited proportion of documents required, and will not in itself make publications available.

FACTORS RELEVANT TO THE DESIGN OF INTERLENDING SYSTEMS

These include geography, though this is less important than the communications system and distribution of population; constitution, which may preclude centralization; stage and nature of development; education and research, both of which will influence the volume and nature of demand; communications; book production, as local availability will be better in the more productive countries, library resources, as developed countries may be prepared to make available substantial additional resources, while developing countries may have to maximize existing resources; and, especially, copyright law, as most interlending demand tends to fall on journal articles which can be satisfied by photocopies - these are better for the user and cheaper for the supplier and additional requests can still be satisfied from the original though any need to seek permission from publishers or payment of royalties may cancel out these advantages.

CRITERIA OF A NATIONAL INTERLENDING SYSTEM, AND FACTORS AFFECTING PERFORMANCE

The three main requirements are:

- adequate satisfaction level (proportion of requests satisfied)
- adequate speed of supply
- lowest costs for achieving adequate satisfaction and speed.

Subsidiary criteria are:

- ability to monitor demand and performance
- ease of use

Satisfaction level. This is defined as the proportion of actual requests satisfied. The number and nature of requests may be constrained by expectations of the system. If a low satisfaction level is set as an aim, improvements may never be reached. 70% satisfaction within a country seems to be a reasonable minimal aim. Below this level users are likely to be frustrated, and borrowing items from abroad that are likely to be wanted more than two or three times becomes more expensive than acquisition. The heaviest interlending demand in most countries is likely to fall on journals, science and technology material, and on recent and common materials, although in developing countries books may account for most demands. The highest percentage of total failures is likely to occur with items in low demand that are not held in the country, and items in high demand that may be in use at the time of requesting. A system devoted solely to recent scientific and technical journals should be able to satisfy a significant proportion of all demand in developed countries.

Speed of supply. Only rarely do supply periods of longer than one or two weeks (but less than three or four weeks) seriously inconvenience users, but provision has to be made for cases of real urgency (supply within one week). Speed is more important for scientific and technical material, especially journals. First-time success is a very important determinant of speed. It is influenced by the

ability to locate a copy, the probability that it is available, and willingness to lend it. Unless communications systems are very slow, the most serious delays usually occur not in transmission but in the requesting and supplying libraries. A request met too late should be considered a failure. Expectation of slow supply can influence the volume and nature of interlending demand.

Cost. Costs may be direct or indirect, recurrent or capital; they may be differently perceived by requesting libraries and in national economic terms. In comparing systems, all costs should be taken into account. If high satisfaction and speed targets are set, central loan collections are the most cost-effective. Lower targets can be attained at less cost by different systems.

Ability to monitor is important if the system is to be made, and to remain, responsive to changing needs.

Ease of use may be significant in that systems that are hard or cumbersome to use discourage demand.

FEATURES OF EXISTING INTERLENDING PRACTICES

Union catalogues are universal, though their number and coverage vary enormously. Union lists of journals are much commoner than of books. Some union catalogues are published, often in microform.

Direct requesting to libraries holding required items is common.

Centralization may take the form of a union catalogue centre through which requests are directed, or the source of supply may be centralized. Except in the United Kingdom, only limited examples of the latter exist.

Regional organization is not uncommon, especially in federal countries.

Circulation of requests, among libraries or union catalogue centres, is practised in several countries.

Subject specialization may be planned as an element in interlending, or exist as a result of cooperative acquisition schemes, or occur by virtue of the existence and nature of particular research institutions.

Hierarchical structure, with requests going through different levels or channels in a prescribed order, is a feature in some countries.

Most countries have a focus for interlending, usually associated with the national library, but often it is not clear where responsibility for the supervision of interlending lies.

It appears that satisfaction rates often do not exceed 70% and supply times of 3 weeks or more are a norm rather than an exception. Costs seem likely to be generally high.

MODELS OF NATIONAL INTERLENDING SYSTEMS

Several basic factors are involved: degree of centralization; national or regional (sub-national); hierarchical nature; unity of provision for all libraries; unity of provision for all types of literature.

The basic factor used for the definition of models is the degree of centralization. Four basic models are identified:

Model A. Concentration on a single library A single collection, possibly dedicated to interlending, on which interlending demand is concentrated. A dedicated collection would probably have to be built up specifically for the purpose, but it could gather older material from other libraries and also serve as a national repository. A shared library (perhaps a national library) would combine lending to other libraries with a service to its own clients. Despite savings in duplication, there is a danger that its two services may conflict.

For journals, a central collection of 8,000 - 9,000 titles may satisfy 90% of demand, and 5,000 - 6,000 titles satisfy 80%. The number of books required to reach different satisfaction levels is much harder to determine: an intake of c. 100,000 a year might be sufficient to satisfy 80% of demand.

The advantages of concentration on a single library are:

- a single channel for most requests;
- ready response to demand;
- easier provision of national imprints and marginal material;
- low direct costs of handling requests;
- economical for libraries to use.

The main disadvantages are:

- high costs of setting up and maintaining;
- high unit costs per request unless demand is heavy;
- possible uncertainty as to future financing;
- risk of damage to collection;
- possible danger of a monopoly;
- possible unleashing of "unnecessary" demand.

Model B. Concentration on a few libraries. In many countries, most titles are contained in a few libraries, on which interlending demand might be concentrated, and which would be reimbursed for lending. Their routines would have to be adjusted. Their resources could if necessary be enriched. Central planning and coordination are essential. Advantages and disadvantages are similar to, but less critical than, those for Model A.

Model C. Planned decentralization. In which the provision of material is allocated between libraries on a systematic basis. Advantages are: direct transmission of many requests; resources can serve both local and national needs; low additional costs of provision.

Disadvantages include:

possibly high total costs because of extensive duplication; possible conflict between lending and other functions; need to adjust procedures to give an efficient service.

Superimposition of specialization on general libraries has numerous disadvantages, and interlending systems based on cooperative acquisition schemes do not have a good record.

Model D. Unplanned decentralization. In most countries, the existing resources of libraries are made available by means of union catalogues. In spite of apparent economies, there are numerous disadvantages. Neither less common documents nor documents in heavy use can be easily provided; substantial resources are necessary to maintain the union catalogues; the first responsibility of cooperating libraries is to their clients, not to interlending; there is no way of ensuring that provision matches demand; hidden costs are high; and effectiveness is likely to be low.

Composite models of provision. Since even a high degree of centralization cannot by itself achieve an ideal performance, either for current or (especially) past publications, Models A or B need to be supported by other systems on the lines of Models C or D or both. Models C or D may support one another.

Centralization of access. This can be achieved only with a national interlending centre to which many or most requests can be directed. Such a centre may be linked to a national loan collection, or it may be responsible for maintaining the main union catalogues. Access may also be partly centralized (possible in Model B), or totally decentralized (usual in Models C and D).

Union catalogues may perform a minor role in support of a central lending collection, or may be maintained in unpublished form by a centre, or published, or, if automated, consulted on-line. Published union catalogues can be very expensive, although Computer Output Microform and ISBN lists with location codes can greatly reduce costs. There should be as few union catalogues as possible, planned as a system rather than allowed to develop independently.

National or regional (sub-national). Interlending can be organized nationally or regionally. Regional systems may be appropriate in federal countries, and in very large countries with problems of communication over long distances, when loss rates in transmission are significant, in countries with different languages and cultures, and in countries where the volume of interlending is very high and library provision is plentiful. They should generally be avoided because of the inevitable duplication of resources and the problems and costs of organization and coordination.

At supplying library:

- Inefficient internal procedures
- Need to handle a variety of forms or procedures
- Requests with inadequate information
- Failure to supply

Factors associated with high costs

- Inefficient internal procedures
- Variety of forms and procedures
- Checking of inadequate or inaccurate requests
- Selection of possible source of supply
- Need to send requests to several sources
- Need to make more than one application
- Expensive transmission of request (must be weighed against extra speed)
- Expensive transmission of document
- Reclaiming and accounting procedures
- Union catalogues
- Provision of adequate document resources for loan or photocopy

These factors are of course interrelated and their importance will vary from country to country. Steps taken to reduce one problem could increase another. However, improvements in some aspects are independent of others. Planning at a national level, for example to standardize procedures, would reduce the effect of many of these factors. So would the establishment of a national loan centre, and the improvement of union catalogues. Comprehensive central collections could achieve the greatest impact, but their cost may rule them out. Greater efficiency in local libraries, and more use of photocopies in place of loans are desirable.

OTHER ASPECTS OF INTERLENDING SYSTEMS

Efficient systems in neighbouring countries may permit a lower level of national self-sufficiency, but the willingness and ability of the neighbouring system to handle present and future demands must be established. Great caution is desirable before relying substantially on other countries and then perhaps as a short term solution.

National interlending programmes and national acquisition programmes are closely related and should be planned together. Where no acquisition programme exists this must be taken into account. Where a strong programme exists the interlending system may be built on it. Model C implies a strong national acquisition programme. Model A can exist independently of, or even render unnecessary, such a programme. Model B can be independent or part of a national acquisition

programme. National interlending systems and national repository programmes also need to be considered together, and provision should be made to ensure that material withdrawn from libraries is subsequently available. A Model A collection is a national recipient for such material. Model B and to a lesser extent Model C, can also meet this need.

MECHANICS AND PROCEDURES OF INTERLENDING

Mechanics and procedures are affected by local requirements and by the design of the total interlending system. Outline procedures for both requesting and supplying libraries are given, to indicate the main elements likely to be present and to serve as a checklist. Attention is drawn to the items of stationery involved at various stages; it is shown how the number of forms and the amount of typing or writing can be kept to a minimum. The design and use of the interlending request form requires special attention.

CONCLUSIONS

There is a need for considerable improvement, and some times radical change, in the interlending systems of many developed countries, and an equal need for developing countries to build effective interlending systems into their national library plans. Interlending must now be regarded as an issue deserving consideration on its own right and total systems must be planned.

Model A - a dedicated centralized collection - has many advantages, but its costs alone may rule it out except in large developed countries with substantial demand. However, there may be a strong case for partial collections. Combined reference/lending collections should be seriously considered, especially for developing countries.

Model B - concentration of demand on a few libraries - is a cheaper alternative to Model A. It may be satisfactory for smaller developed countries, or for some developing countries.

Model C, planned decentralization, is suitable for some large developed countries that already have a sound basis for it. It is not recommended for other countries.

Model D, unplanned decentralization, is by definition not an efficient alternative. Its main value is as a support for strong Models A or B.

Union catalogues are essential where access to more than 2 or 3 libraries is required. They need to be carefully planned, designed and coordinated if they are to be effective and efficient. Comprehensiveness of coverage of libraries is much less important than optimal coverage of titles.

Regionalization of interlending systems is not generally desirable. Any benefits in speedier transportation are likely to be outweighed by the need to switch requests and by the problems and costs of duplication and organization.

All types of recorded knowledge need to be provided for, though not necessarily by the same system. Strong central coordination is necessary to ensure the availability of all forms of material.

Hierarchies, of provision or of access, will exist with mixed models. A recognized order of requesting seems desirable, which can be by-passed in cases of urgency.

Two possible models that might be appropriate for a developing country are:

Model 1 would consist of a central core collection of 5,000 science and technology journals organized to give a fast service. Humanities and social science journals would be supplied by the national reference library, possibly supported by selected specialist collections. Other materials would be supplied from a combined national reference/loan collection, supported by unpublished union catalogues of selected libraries. The national library would serve as the national interlending centre, with a dedicated loan collection of national imprints.

In Model 2, provision for science and technology would be concentrated on 3 or 4 specialist libraries in government-funded research centres, planned to provide at least 5,000 core journals, adequate photocopying facilities, and with sufficient duplication of documents to serve both local and distant users. They would be backed up by union lists of selected libraries.

Humanities and social science documents would be provided from a combined reference/loan collection, supported by unpublished union catalogues of selected libraries. Again, the national library would serve as an interlending centre, with a dedicated collection of national imprints.

Some countries face serious obstacles in interlending, including personal liability on the part of the head librarian for all material lent, inadequate photocopying equipment, and shortage of foreign currency, which can make borrowing from other countries difficult. A more general and urgent problem is copyright legislation; copying fees and the need to obtain permission from publishers can increase costs and delays.

The needs of authors, publishers, libraries and users that should be reconciled so the flow of information is not hindered.

Other aspects of importance are the collection of interlending statistics, for planning and for regular monitoring of services; the question of payment, which needs to be considered at an early stage in planning - payment gives borrowing libraries an incentive to ensure they are not borrowing what should be bought, and supplying libraries an incentive to give a good service; and interlending centres, which are needed whatever system is planned. Their role may be limited to the functions of coordination, monitoring and modification, and serving as a focus for international transactions or they may handle most of the interlending demand in their countries. Since planning for interlending should be undertaken as part of national library planning an interlending centre should be linked with any national library planning centre.

Assessing availability in individual countries

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Based on a recent study on availability of publications in two developing countries, this article outlines a methodology for similar studies which could be applicable in a wide range of settings.

Introduction

This article takes as its basis a research study carried out with the support of Unesco on the availability of publications in two developing countries, as part of IFLA's programme of Universal Availability of Publications¹—a programme to further the ideal that all published material, in whatever form it is issued and whenever it was published, should be available to anyone wherever and whenever it is needed. The study had two objectives. First, it attempted to devise and test a methodology that could, modified and refined as necessary, be applied in a wide range of countries. Secondly, it was hoped to obtain information on the availability of publications in the countries themselves. The success of the second objective depended largely upon the first. This article deals solely with the first objective, and is published both to inform readers and in the hope that librarians in other countries may be encouraged to carry out similar availability studies.

Before serious progress can be made towards UAP, the scale and nature of present levels of availability need to be assessed. While making publications available is the major function of libraries it is rarely stated as an explicit objective and has consequently rarely benefited from systematic analysis; yet unless and until it can be shown that improvement is needed, action is unlikely to be taken. Different solutions will be required to meet different circumstances, but to provide basic information necessary for the planning of improvements, as well as to obtain a broad picture of the overall situation, studies need to be conducted in a variety of countries.

Availability depends upon the efficient execution of a number of basic functions. It depends upon: (a) publishers and booksellers, who are responsible for the quantity and quality of what is published, associated publicity marketing and distribution; (b) the ability of libraries to select, acquire and process publications for the wider use of their clientele; (c) the ability to locate material not locally available; and (d) the willingness and ability of libraries to supply it; and, finally, it depends upon the systematic retention of material acquired to meet future needs. Each of these functions has been studied in detail within the UAP programme.²

The nature of the study

An ideal study of availability would cover all of the above separate yet inter-related activities. However, such a study would be very time-consuming and costly to mount. It would involve a certain amount of propaganda to familiarize individuals with what may be an unfamiliar concept and a somewhat unfamiliar approach, followed by large-scale data collection and analysis exercises conducted over a considerable period of time in individual institutions. Comprehensive information would also have probably required a sectoral approach, analysing in sequence particular categories of library or geographical areas. In practice this approach had to be ruled out for reasons of both time and cost, nor was it felt that the enormous amount of detail that would have been obtained would add proportionately to the value of a more basic and limited study. It would also have been difficult to maintain the enthusiasm of co-operating institutions for such a lengthy study.

The present study therefore looked only at acquisition policies and practices as measures of immediate local availability, and at the interlending policies, practices and performance that supplement local availability. Limited consideration was also given to the book trade as this significantly affects acquisition policies and practices.

Acquisitions and interlending can be studied both in general terms and in terms of their ability to supply to readers the publications that they want or need—not merely what they request, since the extent to which individuals actually request publications is greatly influenced by the ability of the interlending system and acquisition programmes to meet their needs. Indeed, an important measure of performance of a system is the amount of use and demand it generates.

As stated above, the study was conducted in two developing countries. It was originally hoped that a developed country could be included to extend the range of countries in which the methodology could be tested, because developing countries are heavily dependent on the products and services of developed countries, and as a basis for comparison. This was unfortunately not possible for financial reasons. The countries selected for the study do however illustrate different levels of development. In both, strong interest had been shown in the development of library services, contacts in the countries had already been established, and organizations in each had declared their willingness to co-operate.

The study, combining both these approaches, consisted of four substudies:

1. A description of acquisition policies and practices in force, and of interlending policies and practices.
2. An identification of the various barriers to availability.
3. A survey of the existing demand for and supply of publications on interlibrary loan.
4. A survey of the potential demand for publications.

These are described and commented on below, followed by consideration of a number of major issues raised by the conduct of the study.

The detailed design and supervision of the study were carried out by the IFLA Office for International Lending which served as a focus for UAP until a separate IFLA International Office for UAP was set up. The study in each country required some seven months' work, of which some four months were accounted for by the postal surveys, including transmission between the local contacts and the Office. It was completed at a cost of around £5,000, though a major element was accounted for by travel costs from the United Kingdom to the countries in question, subsistence costs and staff costs. If the study is conducted

purely as a local exercise, it can be carried out very cheaply indeed. Each of the countries was visited for two weeks, and in each a local contact was identified to look after the detailed conduct of substudies 3 and 4, as well as to advise on local relevant circumstances. During this visit interviews were conducted in the company of the local contact for the purposes of substudies 1 and 2, and the local contact was instructed in the conduct of substudies 3 and 4.

Background data

The nature and efficiency of library functions and the identification of major constraints cannot be viewed in isolation, but must be considered in their context. The description and analysis of library operations in each country were therefore prefaced by background information. This was obtained mainly from an extensive literature survey, but was supplemented by information obtained during the studies. It is purely factual in nature; the implications of any particular aspect on library operations are drawn when the operations themselves are considered.

The background information covered: (a) geography and climate; (b) transport and communications, indicating their extent efficiency; (c) population characteristics; (d) social and cultural customs and structures; (e) political structure and situation, including a description of central and local government administration, and particular links with other countries; (f) the state and nature of the economy; (g) educational policies, systems and statistics, including an indication of research activity; and (h) background to the development of libraries—their present organization, finance and relevant legislation was identified during discussions.

Acquisition and interlending policies and practices

The description of acquisition and interlending policies and practices was obtained by structured discussion with librarians and officials identified by the local contact. In common with many countries, neither country had formal national policies and systems in these areas.

For an assessment of national performance, it was therefore necessary to build up a composite picture by surveying the activities of a range of the most important institutions. It was felt that an understanding of their methods, procedures and policies would give sufficient indication of the main problems involved, since if they have problems the less good libraries will have more and worse problems. However, it might be profitable in future studies of this kind to include a number of less-well-endowed libraries.

Given the lack of formal national policies in the two countries, stress was placed on the nature and extent of voluntary co-operation between institutions aimed at extending availability. In both countries, as in many other—especially developing—countries, much library activity is centred on the capital, and this was reflected in the institutions visited. Close proximity of institutions can foster co-operative arrangements, but, in order to assess the impact of distance from the capital and its resources a number of institutions in a more remote location where the need for co-operation to mitigate the effects of isolation is arguably greater, were also visited.

Where a national policy exists, its description and analysis should be based on discussions with the national body responsible for its determination and with the institution(s) responsible for its implementation to identify differences between stated and perceived responsibilities.

The check-lists for structured discussions (Appendices 1 and 2), which may also serve as a basis for postal questionnaires, show the range of information sought. Two aspects are worth particular mention here.

First, questions were included on the existence and nature of links between acquisition, interlending and retention. One of the benefits of considering availability as an objective is that it can form the basis of a co-ordinated framework integrating various aspects of library operations and services. The detailed studies of these functions, mentioned above,⁸ include for each a range of model solutions. The types of solutions offered for each function proved to be quite similar and certainly compatible, which means that it is possible to plan a co-ordinated availability programme covering all functions.

Secondly, a distinction is made in the questionnaire between national and foreign material. This is made because the acquisition of foreign publications can be very difficult, especially in developing countries, and this may influence the willingness of librarians to make them available on loan. Interest in the acquisition and availability of indigenous publications also stems from a fundamental principle of UAP, namely, that each country must be able to make its own publications available, both to its own inhabitants and to other countries. No country can expect to obtain its own publications from other countries. The only secure basis for obtaining a publication is from the country of publication, even if only as a last resort. The availability of national imprints is therefore of particular importance.

Barriers to availability

A separate check-list (Appendix 3) was used to help to identify barriers to availability. Many of these became apparent both in obtaining the background information and during discussions of acquisition and interlibrary lending. While many problems are not related directly to either of these functions, it was easy to broaden discussions to deal with these wider aspects.

The survey of existing interlibrary loan demand

An assessment of the extent and nature of existing interlibrary loan demand required the collection of data from a range of institutions on the actual demands made for publications and the extent to which they were satisfied. In both countries studied discussions had revealed in many institutions a lack of central co-ordination of requests made by individuals and departments to other libraries or alternative sources of supply. Central monitoring was therefore in many cases impossible. In addition, slow supply times were anticipated, thus requiring a long survey period to obtain information on levels of satisfaction and speed of supply. Further, the survey of potential demand (substudy 4) included documents actually requested and therefore provided some information on these aspects.

For these reasons, it was decided to monitor requests at the supply stage rather than the requesting stage. This permitted a fixed period to monitor the requests received and an assessment of how quickly requests were handled by the supplying institution. A questionnaire covering all the basic characteristics essential to an understanding of interlibrary loan demand was designed and sent with a covering letter and coding instructions (Appendix 4) to all libraries having any significant involvement in the supply of material to other institutions. Each was asked to monitor for a period of ten weeks all requests received requiring material to be sent either in the form of a loan of the original or as a copy.

The survey of potential demand

It was clear that not all requests for publications are handled by libraries, and that this was due in part to the quality of services offered by them. Thus, the survey of supplying libraries could not reflect the true nature of the demand for publications. A survey of a number of individuals was therefore included. This required them to monitor for a period of four weeks all relevant references identified during the course of their normal work that they wished to see, the extent to which they actually requested them (as well as the extent to which, the speed with which and the sources from which they were supplied), and the reasons for not requesting some publications. Again a questionnaire was designed, and sent with a covering letter and coding instructions (Appendix 5) to over 200 researchers identified with the help of the local contacts.

It was acknowledged at the outset that this part of the study would present considerable difficulties and that at best only partial information can be obtained; this was confirmed. While libraries may be persuaded to analyse the success of their own functions, it is less easy to persuade researchers to analyse their documentary needs which they may not be used to articulating and of which they may not even be fully aware because expectations have been at a very low level. This is a vicious circle. Until researchers are prepared to identify and articulate their needs they will not necessarily be reflected in the quality of library service, poor service will not encourage use, so libraries will remain ignorant of needs.

Even though only a partial indication of needs was obtained, the importance of surveying individual users was established beyond doubt. The survey of libraries had indicated that a high proportion of requests is satisfied and handled promptly, and it might have been concluded that there is little need for improvement. Information from individuals clarified the extent to which libraries were bypassed in favour of other channels and the success of those channels. At the very least a survey of users can complement one of libraries: both are needed to build up a picture of the true situation. The conduct of this study highlighted a number of main issues which are now considered more fully.

Central control and local assistance

The practical implementation of this pilot study was the responsibility of the IFLA Office. In this instance, where the studies were essentially experimental in nature and formed part of a broad body of initial research it was important that the study was conducted by someone familiar with the total programme. There is some advantage to be gained from using an outside consultant familiar with conditions in a range of countries who can, against a broad background of knowledge, be objective in his assessments. Against this must be weighed a possible lack of familiarity with the prevailing characteristics and influencing factors within the country to be studied. These must be clearly understood if the country's needs and limitations are to be appreciated. They should not necessarily be seen as obstacles to preconceived solutions, but rather as possible determinants of areas for and methods of improvement. For the present study, the advice, knowledge and experience of local assistants were fundamental to the success of the project.

It might be argued that a study undertaken as a local exercise by a local body with weight and authority would result in high response rates to the questionnaires. This is very doubtful in the case of researchers, and unlikely even for libraries, which are rarely responsible to a single authority. Further, there is a danger that

a local survey may place librarians on the defensive, and they will then be less frank and forthcoming about their deficiencies. Consistency of approach would also have been far harder to achieve if the conduct of the studies had been left entirely to local personnel, and the risks and dangers of inconsistency would have been much more serious in the case of a pilot study.

The use of structured discussions

Direct discussions proved a profitable means of obtaining information. The checklists ensured systematic coverage in each library. Personal interviews allowed these questions to be put in the context of general discussions which often revealed further information, thus amplifying answers to specific questions. The relatively informal atmosphere encouraged librarians to be more forthcoming on relevant wider issues and questions could be phrased in each case in such a way as to elicit a full and meaningful reply; qualifications to answers could be made and areas of interest pursued in greater detail.

Personal interviews undoubtedly result in a high response rate, but they are time-consuming and expensive. The only viable alternative would be postal questionnaires, though in some countries postal services may be so unreliable that questionnaires have to be personally delivered and collected. Questionnaires lack the flexibility offered by interviews and might well yield less information. Information so provided would also have to be judged in isolation from the personal 'feel' of an institution, which can be obtained only by direct contact. Highly unscientific though it may be, this personal 'feel' can be of much value, allowing services to be judged in context, for example the adequacy of buildings, stock arrangement, staff deployment, etc. Interviews or the personal delivery and collection of questionnaires are possible only when the number of institutions involved is relatively small and when local labour is relatively cheap. In a developed country, where the number of libraries is much greater and where labour is more expensive, reliance would have to be placed on postal questionnaires; fortunately their mail services are generally more reliable. The best method would combine detailed personal discussions in a small number of major or representative institutions with postal questionnaires to the others; this would supplement a large volume of data with the depth that only personal contacts can give.

Obtaining an adequate sample

As with all surveys, it is important to obtain an adequate sample on which to base interpretations and extrapolations. This has to strike a balance between being an adequate sample of total activity and a period that is not so long as to deter co-operation by the institutions involved. The question of low response rates has already been mentioned. It is of fundamental importance for two reasons. A low proportion of responses introduces potential bias into the results, a bias the scale and nature of which are often impossible to assess. Secondly, a small number of responses lead to low validity and make generalizations extremely hazardous. Most surveys deal with samples rather than populations, so that sampling error is already present even with a high response rate. If the sample is small (the size being statistically much more important than the proportion it represents of the population), the error can be very large, especially when subsets or cells are involved. The greater the detail required, the larger the sample should be. That said, a reasonable picture of a particular situation can often be drawn from a very imperfect response, provided that detailed statistical analyses are not vital.

Inclusion of major institutions in a low response rate is more useful than a high response rate that omits them.

These considerations apply with more force to the survey of individual researchers, since their number and variety are much greater than that of libraries and the risk that the results will be unrepresentative correspondingly greater. Moreover, any bias is much harder to detect, since much more can be found out about libraries than about individuals. The problems of obtaining a satisfactory sample are also severe, since the population of users has first to be identified. Further, the survey can be conducted for a limited period only and may therefore be influenced by the initiation by users of new research projects which require a disproportionate and untypical range and amount of material. With a small group it introduces an additional possible distortion. A high level of response would require long and careful preparation and the involvement of more local staff. This would require more time, work and money, and a choice may have to be made between very imperfect surveys yielding partial but useful information and no surveys (and no information) at all.

An unfamiliar approach to a familiar problem

A further issue relates to the methodology itself. As noted in the introduction, the concepts and approach in a UAP study are somewhat unfamiliar, and some effort had to go into preparing the ground so that those co-operating understood what was required of them and why. Again the use of local assistants proved invaluable. They were able to provide some background information when arranging interviews and to respond to queries raised by those participating in the questionnaire surveys.

Nevertheless, the questions asked, both in the interviews and through the questionnaire survey, would seem to be valid and were apparently, with minor exceptions, clearly understood. It does not seem that the length of the questionnaire or difficulty in interpretation by participants had a significant effect on the level of response. Nor were there any particular difficulties in interpreting the results. It was acknowledged at the beginning that the study could not possibly have the same precision as, for example, a local library study of the availability of books on shelves. This is partly related to the difficulty already mentioned of obtaining a statistically valid sample both of libraries and, in particular, of users, and this is influenced by the amount of time and money available. A more realistic approach was the one adopted: that is, to examine in greater depth the activities of a limited range of institutions and individuals. All aspects of the methodology can be limited in their application, for example to a particular locality, type of institution, or even subject. This may be of particular value if analysis and the development of services has to be a gradual process. Further, the surveys of actual and potential demand may be used by individual institutions for a better understanding of their successes and failures. They can assist collection development and provide useful support for increases in budgets to meet responsibilities effectively.

Summary and conclusion

In general, the pilot project, though not perfect, has shown that a study of this kind can be mounted fairly easily and cheaply and with the prospect of yielding useful results. The level of response was fairly good with the exception of the survey of researchers. Any further study of this sort would have to devote more time and effort to securing their co-operation. Relatively simple data collection

and manipulation can yield valuable information for action at a variety of levels without the expenditure of a great deal of money or effort. On the basis of the experience gained, it is hoped that studies can be carried out in other countries using the same methodology. The IFLA International Office for UAP, located at the British Library Lending Division, is willing and able to provide guidance and advice on their conduct and would like to be informed both at the planning stage and when results appear.

The following outline of the main steps involved may be helpful.

1. If the study is directed from outside the country, identify and obtain the assistance of local assistants.
2. Publicity. To announce the study and outline the objectives and proposed methods. This will help to acquaint potential participating institutions and individuals with unfamiliar concepts and methods and help secure maximum co-operation.
3. Description of the environment in which services take place, noting in particular any limiting characteristics, development priorities, etc. The effect of these factors should be described at the same time as the library operations being studied.
4. Description of existing arrangements. Where national policies exist, their description and analysis should be based on discussions with the national body or bodies responsible for their determination and with institutions responsible for their implementation to identify differences between stated and perceived responsibilities. Where no national policies exist a composite picture will have to be built up by surveying a range of institutions. In the case of a small number of institutions this may be based on structured discussions with relevant officials. Where the number of institutions is large, reliance will have to be placed on postal questionnaires, but they should be supplemented by detailed discussions with a number of institutions. Alternatively the methodology may be limited in its application to particular geographical areas, types of institution, subject, etc. In all cases it requires the clear identification of the relevant institutions.
5. Assessment of the performance of existing arrangements. This will have to be obtained by questionnaire. Sufficient institutions must be surveyed for sufficient time for a clear understanding of activity. The level of detail required must be determined. It is suggested that the questionnaire used should cover all essential characteristics, but additions may be made. Minor alterations will be required if requesting rather than supplying institutions are surveyed. Again the methodology may be limited to particular characteristics if required.
6. Survey of potential demand. As in 4 this will have to be accomplished by postal questionnaires and similar considerations may apply to the level of detail requested. Again, the methodology may be applied generally or may be limited, for example to particular academic disciplines, industrial sectors, etc. Given that users may not be in the habit of analysing their documentary needs, considerable publicity and explanation may be needed to secure a fair response and the questions addressed to them should be very specific.
7. Processing and interpretation of results. In general fairly limited manipulation can give an adequate picture of present activity and weakness for planning purposes, but access to a computer is a virtual necessity. The extent of detail and of cross-tabulation that is required must be established before the design of the questionnaires.

Throughout the survey, co-operating institutions should be kept informed, and they should be informed of results.

Notes

1. Maurice B. Line and Stephen Vickers, *Universal availability. A programme to improve the national and international provision and supply of publications*, Munich, Saur, 1983.
2. John Clewin, *Commercial book supply. Literature review*, Boston Spa, IFLA International Office for UAP (in press); Priscilla Oakshott, *Survey of libraries, publishers and booksellers*, Boston Spa, IFLA International Office for UAP (in press); Judith Collins and Ruth Finer, *National acquisition policies and systems: a comparative study of existing systems and possible models*, Boston Spa, IFLA International Office for UAP, 1982; Maurice B. Line et al., *National interlending systems: a comparative study of existing systems and possible models*, Paris, Unesco, 1980 (PCI/78/WS/24 (Rev.)); Maurice B. Line, with Brian Kefford and Stephen Vickers, *The international provision and supply of publications*, Paris, Unesco, 1981 (PCI/81/WS/30); Capital Planning Information, *National repository plans programmes: a comparative study of existing plans and possible models*, Boston Spa, IFLA International Office for UAP, 1983.
3. Ibid.

Appendix 1: Check-list for structured discussions

ACQUISITIONS

- Is a formal system (or systems) operated for the acquisition of material within the country?
- Is there any degree of co-operation between libraries for the acquisition of material?
- What responsibilities do individual institutions have with regard to the acquisition of material?
- What is the nature of the system or of co-operation?
- Is the system formulated as a practical programme?
- Who is responsible for its formulation?
- Is it implemented as a practical system?
- Who is responsible for its implementation?
- How many libraries are involved in the system?
- What are their nature?
- What is the role of the national library?
- How is the acquisition of material funded?
- What is the scale of funding?
- What is the scale of expenditure? On national imprints? On foreign material?
- What machinery exists for the organization and control of funding; of the library; of the acquisitions programme?
- What machinery exists for the organization and control of material to be acquired?
- What machinery exists for monitoring the implementation of acquisitions policy?
- What criteria are used for assessing its effectiveness?
- What responsibilities relate to the material acquired in terms of retention?
- Is there an associated programme for the systematic retention of material acquired?
- What responsibilities relate to the material acquired in terms of availability?
- Is the acquisition of material related to an interlending system or the pattern of interlending demand?

Appendix 2: Check-list for structured discussions

INTERLIBRARY LENDING

- Is there a formal interlending policy established by an official body?
- Is there a formal interlending policy agreed between libraries?
- Is there any degree of co-operation for the lending of material between libraries?
- What is the nature of co-operation?
- Is it formulated as a practical system?
- Who is responsible for its formulation?
- Is it implemented as a practical system?
- Who is responsible for its implementation?

How many libraries participate?
 Is participation mandatory? Encouraged?
 What is the nature of co-operating libraries?
 What is the role of the national library?
 How are the costs of interlending distributed?
 What is the scale of expenditure?
 What machinery exists for the organization and control of expenditure?
 Do special responsibilities relate to the provision of (a) national imprints, (b) foreign publications?
 Is there a relationship between interlending practice and the acquisition of material?
 Is there an associated programme for the systematic retention of material to meet future demand?
 What machinery exists for monitoring the effectiveness of the system?
 What is the relationship, if any, of the system, with those of other countries?

Appendix 3: Check-list for structured discussions

BARRIERS TO AVAILABILITY

Is availability impaired by the following?
 The inadequacies of the indigenous book trade.
 Import restrictions on foreign material.
 Currency regulations.
 Inadequate bibliographic control.
 Inadequate legal deposit requirements and enforcement.
 The lack of an organised acquisitions programme.
 Inadequate funding.
 Inadequate interlending procedures and tools.
 The cost of interlending.
 Inadequate reprographic equipment.
 Inadequate communications systems.
 A lack of sufficient expertise.
 A lack of knowledge among users.
 A lack of government support.
 Others.

Appendix 4: Letter, coding instructions and questionnaire for libraries

LETTER

Dear Colleague,

The International Federation of Library Associations and Institutions (IFLA) is developing a programme designed to improve the availability of publications. This programme of Universal Availability of Publications (UAP) enjoys the full support of Unesco. A number of studies are being conducted within this programme of activity to provide an analysis of the present situation upon which plans for future developments can be based. The IFLA Office for International Lending is therefore conducting a pilot study of the availability of publications within two countries under contract to Unesco. Following a visit to your country for discussions of library policies with librarians and users I am now seeking your co-operation to analyse the existing and potential demand for documents.

Twenty-one major libraries in your country, including your own library, are being asked to monitor their interlibrary lending activity for a period of ten weeks. You are asked to record on the sheets provided information on all requests received, both from other insti-

tutions and from individuals not belonging to your own institution, which require material to be sent to them on loan, either on the original or as copies. Personal visits by individuals from other institutions, whether to take material away on loan or to consult material within your own library, should not be recorded. For each request received you are asked to record the date of its receipt; the type and location of the requesting institution or the institution to which the requesting individual is attached; a description of the material requested; whether the item was supplied; and, if so, the date of its supply. It is anticipated that the number of such requests received will not be very great and will therefore not involve a great deal of time or work. As far as possible the information should be given in coded form as explained on the attached sheets. Information may be given in written form in particular instances where you feel that coding is inadequate. You are asked to record information on such activity by all departments of your institution. Your co-operation in this matter will be greatly appreciated. The responses will yield valuable information on which improvements can be based.

Completed sheets should be sent at the end of the survey period to:

.....

CODING INSTRUCTIONS

On the sheets provided please use one space per request received and for each item please enter:

In column 1: the date of receipt of each request, giving the day then the month, e.g. 0403 = 4 March.

In column 2: the category of the requesting institution using the following code:

enter P for a public library

A for the library of an academic institution

C for the library of commercial or industrial institution

R for the library of a research organization

I for an individual if an organization is not shown.

Please specify the library if you are in doubt about its coding.

In column 3: the town in which the requesting institution or individual is located.

In column 4: the form of the publication using the following code:

enter B for a book or an extract from a book

J for a journal or an article in a journal

O for printed material other than a book or journal, e.g. report, thesis, government publication, etc.

N for non-print material, e.g. film, slides sound recording, etc.

Please specify the form if you are in doubt about its coding.

In column 5: the broad subject of the publication using the following code:

enter H for humanities

S for social science

M for medical and related sciences (biomedicine, pharmacology, dentistry, etc.)

A for agricultural and related sciences (horticulture, forestry, etc.)

T for technology

P for pure science (maths, physics, etc.)

O for others.

Please specify the subject if you are in doubt about its coding.

In column 6: the country of publication (if known).

In column 7: the year of publication (if not known precisely, prefix with 'ca').

In column 8: the date of supply of the material, giving the day then the month, e.g. 1004 = 10 April, or N/S if the item was not supplied.

QUESTIONNAIRE

Name of institution							
Town in which institution is located							
Serial No.	1. Date of receipt of material	2. Category of requesting institution	3. Location of requesting institution	Description of material requested			
				4. Form of publication	5. Subject of publication	6. Country of publication	7. Date of publication
1							
2							
3							
4							
5							
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7							
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30							

Coding (see also notes attached)

Doc. Recd. e.g. 10/10/66	P. Public library	G. Book	H. Humanities	P. Periodicals with 10 if not under primary	Doc. Recd. e.g. 10/10/66 or N.Y. not available
2. Date	A. Academic library	J. Journal	S. Social		
	C. Government or industrial	O. Other	Sc. Science		
	R. Research institute	Pr. Periodical	M. Misc. of		
	I. Individual	N. Newspaper	A. Agriculture		
Other: specify			T. Technology		
			P. Pure science		
			C. Other		

Any comments relating to particular requests should be written on the other side of this sheet, with the serial no. printed on this side, e.g. 67

Appendix 5: Letter, coding instructions and questionnaire for individuals

LETTER

Dear

The International Federation of Library Associations and Institutions (IFLA) is developing a programme designed to improve the availability of publications. This programme of Universal Availability of Publications (UAP) enjoys the full support of Unesco. A number of studies are being conducted within this programme of activity to provide an analysis of the present situation upon which plans for future development can be based. The IFLA Office for International Lending is therefore conducting a pilot study of the availability of publications within individual countries under contract to Unesco.

Following a visit to you last year for discussions of library policies with librarians and users, I am now seeking the co-operation of some 150 scholars and researchers including yourself, to analyse the present and potential demand for documents.

You are asked to monitor specific references which you come across in the course of your work to documents that you wish to use. You should not include documents which you know in principle would be useful additions to your library, but are not specifically identified as references you wish to pursue. You are asked to monitor the references you come across for a period of four weeks. As you will see from the enclosed forms, you are asked to provide a description of each item required; to note whether you tried to obtain the item and the methods used; whether your attempts were successful; and the name and location of the supplying institution if any. If you decide not to try to obtain an item you are asked to provide the reason. Information should be recorded on the forms provided, as explained on the accompanying sheet of notes. In particular instances where you feel that coding is inadequate, additional comments may be made.

Your co-operation in this matter would be greatly appreciated. The responses will yield valuable information on which improvements can be based.

Completed forms should be returned at the end of the survey period to:

.

CODING INSTRUCTIONS

On the sheets provided please use one space per item required and for each item please enter:

In column 1: the form of the publication using the following code:

- enter B for a book or extract from a book
- J for a journal or article from a journal
- O for printed material other than a book or journal, e.g. report, thesis, government publication, etc.
- N for non-print material, e.g. film, slides, sound recording, etc.

Please specify the form if you are in doubt about the coding.

In column 2: the broad subject of the publication using the following code:

- enter H for humanities
- S for social science
- M for medical and related sciences (biomedicine, dentistry, pharmacology, etc.)
- A for agricultural and related sciences (horticulture, forestry, etc.)
- T for technology
- P for pure science (maths, physics, etc.)
- O for others.

Please specify the subject if you are in doubt about its coding.

Downloaded At: 11:53 11 September 2009

State where of record is received				Date when the record is of				9 Name and location of the receiving department
1 Name of institution	2 Subject of contribution	3 Country of institution	4 State of institution	5 If by express give date	6 If by mail state date	7 Date when received	8 Date when opened	
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								

[illegible]

See comments along a particular response track to either of the other side of the story, with no need to delete or to add, e.g. 17.

In column 3: the country of publication (if known)

In column 4: the year of publication (if not known precisely, prefix with 'ca')

In column 5: the reason for not trying to obtain the publication using the following code:

enter R if the material is no longer relevant

D if you thought the delay in supply would be unacceptable

L if your library has no facility for obtaining material from other institutions

F if the cost of obtaining the material was too great.

Please specify the reason if it does not fall into the above categories.

In column 6: how you tried to obtain the material using the following code:

enter O if you obtained the material from your own library

P if you asked for it from an individual (personal) contact, including offprints from authors

L if you asked for the material to be sent to you from the library of another institution

V if you visited another institution to take the work away with you on loan

C if you visited another institution to consult the material there.

You may use more than one coding letter.

Please specify the method if it does not fall into one of the above categories, e.g. purchase for own use.

In column 7: the date you requested the material giving the day then the month, e.g. 0403 = 4 March.

In column 8: the date you received the material giving the day then the month, e.g. 1004 = 10 April, or N/R if the item was not received.

In column 9: the name of the supplying institution and the town in which it is located, or the status and location of the supplying individual if no institution can be specified.

[Continued from page 152.]

a significant injection of funds from IDRC to support key personnel, provide equipment, develop the data base of local reports and finance the training of staff in some of the newer skills and techniques to be introduced. It is hoped to attract four Peace Corps volunteers to assist in the organization and stock development of some of the key department libraries which have not had the benefit of continuous professional supervision.

The National Council, perhaps with modified membership, is expected to continue to exist and to serve as an advisory body to the directorate of the network. Its members all recognize that the next two years present an opportunity for those involved in the information field in Barbados to develop an efficient co-operative system and by imaginative use of the newer techniques to stimulate the use of all the relevant material by each user according to his or her special needs.

Information is not information until it is in the hands of the one who needs it.

Note

1. For more historical information see: Chalmer St Hill, 'Libraries in Barbados', *Encyclopedia of library and information science*, Vol. 2, pp. 251-7, New York, Marcel Dekker, 1969; Michael Chandler, *Agriculture, science and technology: resources of information in Barbados: a survey*, Bridgetown, Barbados, National Council of Science and Technology, 1980; Edwin Hill, *The Public library movement in Barbados and Jamaica*, Library Association, 1968 (FLA thesis).



7/8

JAARGANG 12, NR. 7/8, JUL/AUGUSTUS
1980, 349-394

Beschikbaarheid van publikaties
50ste bibliotheekcongres.
Utrecht.
12-05-1980

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VAN LOGHUM SLATERUS - DEVENTER

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ASSOCIATION FRANÇAISE
DES DOCUMENTALISTES
ET DES BIBLIOTHÉCAIRES SPÉCIALISÉS

ETUDES ET DOCUMENTS

l'accès aux documents primaires

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L'ACCÈS AUX DOCUMENTS PRIMAIRES

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International Congress on Universal Availability of Publications

Paris, 3-7 May 1982

General Information Programme
and UNISIST

United Nations Educational,
Scientific and Cultural
Organization

International Federation
of Library Associations
and Institutions

Paris, 1982

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ANNEX I

PROGRAMME

Opening of the congress

Designation of the Chairman, Vice-Chairman and Rapporteur

Organization of the work of the congress

Universal availability of publications

- 4.1 Presentation of the UAP Programme. General report on research and work done already on UAP
- 4.2 Access and availability to users
- 4.3 Production and supply of publications
- 4.4 Acquisition policies and practices
- 4.5 Repository policy and planning
- 4.6 National and international interlending policies and practices
- 4.7 Summary discussion and general conclusions

Adoption of recommendations

Closure of the congress

**THE LIBRARY ASSOCIATION
CONFERENCE**

Papers:
**ACCESS
TO
PUBLISHED
INFORMATION**

Torquay 1983



The Library Association • London

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APPENDIX 4 RECOMMENDATIONS ADOPTED AT THE UNESCO/IFLA INTERNATIONAL
CONGRESS ON UAP

- (a) General recommendations requiring joint action at national or international level by governments, professionals and international organizations.
1. Information personnel should consider information resources entrusted to their care as part of the total national resource and, in the case of materials that are rare, unique or difficult to obtain, as part of the total global resource, and be conscious of their responsibility to users of publications and information.
 2. Information personnel should examine ways of promoting use of information resources and services and carry out research to develop improved methods and techniques for evaluating reading and information habits which will take into account the abilities and interests of users and potential users.
 3. Continuing research should be undertaken on the information needs of users in different disciplines and at different academic levels.
 4. Efforts should be made to assist users in the identification of their information needs and to encourage them to express them and direct them to appropriate channels, such as libraries and information services. Research and experiment should be conducted to discover the best means of achieving this.
 5. Further efforts should be made to devise and develop techniques of educating and assisting users in the use of information systems and libraries.
 6. The education of information users should be integrated into formal education programmes at all levels, from primary education upwards. Information, and where necessary training, should be available to all users on the various possibilities of access to publications and information, and how they could be exploited.
 7. The professional education and continuing education of information personnel should be aimed at improving availability in response to needs and in developing the skills necessary to achieve this.
 8. Special attention should be paid to the particular needs of the disabled and available technologies should be utilized, wherever possible, to overcome the physical obstacles faced by them in their quest for access to information. Further, special attention should also be paid to the particular needs of those whose reading difficulties stem from other reasons than physical or mental handicaps, e.g. the reading and language retarded and the weak readers (including those unaccustomed to reading).
 9. As the use of electronic storage and transmission of texts develops, efforts should be made to ensure that it is used to improve and extend access and availability with due regard to provisions of copyright, and to the importance of capturing information published in this way at intervals in order to maintain a historical record and towards ensuring the permanent preservation of such texts for present and future generations.
 10. In view of the importance of the programme for Universal Bibliographic Control (UBC) and its complementarity with the UAP Programme, the implementation of the recommendations adopted by the International Congress on National Bibliographies in 1977 relating in general to national and universal bibliographic control and in particular to the creation of national bibliographies, the establishment of national bibliographic agencies, legal deposit and the publications of intergovernmental and international non-governmental organizations, should continue to receive all necessary support.

11. Publications in minority languages should be encouraged, collected and made available.
12. National repository plans should provide at least for the retention of all domestic publications for subsequent supply by loan or photocopy, within existing copyright legislation.
13. Consideration should be given in repository plans to ensuring the distribution of duplicates to interested parties within the country and to other countries. A study should be made for devising the most effective and economic way of distributing duplicate material within and between countries.
14. Repository plans should take into account the need to ensure the conservation of the physical items to be retained either in original form or alternatively by the use of such methods as miniaturization and digitization.
15. As the conservation and preservation of publications, printed and otherwise, have a major impact on the improvement of availability, and in view of the serious problems of physical deterioration of information-bearing materials due to atmospheric, chemical, human or other factors, a major plan of action should be established in the following areas related to this subject:
 - (a) that Member States undertake national programmes of research and development and international co-operation in the conservation and preservation of information materials;
 - (b) that methods of preservation in formats other than the original be studied and evaluated and applied wherever necessary;
 - (c) that the published results of such research and studies be incorporated in a data base or other bibliographic record;
 - (d) that assistance for the training of specialists in conservation and preservation be made available to Member States;
 - (e) that progress in the areas of conservation and preservation and in the evolution of new technologies in these fields be discussed regularly by an expert group set up by Unesco in collaboration with relevant international organizations.
16. The experience and success of existing regional and other international co-operative interlending schemes should be evaluated, with a view to identifying the likely value and most appropriate nature of such schemes in future.
17. In cases where librarians are held personally responsible for the holdings of which they have the custody, they should be released from this responsibility in case of loss of, or damage to, publications which occurs on the occasion of interlending, or of the illicit use of the publication by the beneficiary of the loan.
18. Countries that have or create central collections for national interlending provision should consider how far these can be used also as sources of international supply.

19. In individual countries, libraries, publishers, booksellers and others concerned with the availability of publications should consider establishing mechanisms for promoting UAP in order to identify barriers and problems, develop plans and solutions, encourage and stimulate action by governments and other relevant agencies, and monitor progress.
20. Intergovernmental organizations, in particular United Nations agencies should make all efforts to improve the quality of production, bibliographic control, distribution, access, availability and use of their documents and publications.
- (b) Recommendations addressed to Member States requiring action at national and international levels.
21. In order to provide a sound basis which would ensure access and availability to publications for all categories of users it is recommended that national planning of library and information services based on the needs of users of information be undertaken in all Member States where this is not already being done.
22. Member States should agree to regard the unrestricted availability of publications as a genuine public service and take necessary measures to ensure that the service is provided in conditions that allow for the utmost speed and the lowest possible costs.
23. In order to achieve the greatest possible access to information and publications, access points should be as extensive and widely distributed as possible. They could range from major collections of publications through branch libraries to service and inquiry points.
24. Confidential labels attached to documents seriously restrict their availability. Member States are advised to establish procedures for periodic review and the removal of items from the confidential lists when appropriate.
25. Governments and the appropriate intergovernmental bodies should give consideration to the removal of barriers which inhibit or restrict access to published materials in various physical forms, for example: import and export licences; high tariffs for postage and telecommunication; customs and excise duties; inadequate amounts of hard currency for acquisition.
26. Governments and other agencies, national and international, should examine the problems of non-conventional publications produced by them, in particular, certain categories of official publications, 'grey literature', information produced in electronic forms and audio-visual materials; and take steps to ensure effective bibliographic control of these materials and their availability.
27. In view of their important role in social, economic and educational development as well as in scientific and technological research, Member States should support and finance the development of libraries as a high priority, either directly or with the help of external resources from the World Bank or other development banks, UNDP, Unesco, bilateral assistance organizations, etc. Member States should ensure the adequate funding of libraries which should keep pace with the development of scientific and other scholarly research and of the publishing of its results. Appropriate measures should be taken to enable the pre-payments of periodical subscriptions.

28. Considering that a national acquisitions policy is an effective means of ensuring an appropriate level of availability of local and foreign publications, Member States are urged to:
- (a) examine, where national acquisitions policies exist, the levels and methods of provision presently attained and practised, and take steps necessary to ensure their suitability to meet expected future requirements and maintain effective levels of provision;
 - (b) take urgent steps, where no acquisitions policies exist, for the design and implementation of such policies as a means of improving availability;
 - (c) ensure that national acquisitions policies are closely connected with national interlending systems and national repository systems.
29. Subregional or regional policies should be drawn up, where feasible, in which several Member States, by mutual agreement, undertake planned acquisitions programmes for the benefit of all parties to the agreement.
30. Member States should ensure that, where practicable, publications issued in other countries which concern their own country and its nationals, and publications by its nationals, be acquired by the national library where one exists or other appropriate libraries in the form of primary documents or in another form (microfilms, facsimile reproduction, etc.).
31. Member States should give consideration to the establishment of policies to ensure the retention of publications withdrawn from libraries, documentation centres and similar institutions and their continued availability both to national users and those of other countries and ensure that such policies and systems are related to national acquisitions systems and national interlending systems.
32. Member States should undertake production or reproduction in microform or digitized form of the past and current output of their government publications.
33. Member States with national interlending policies or systems should examine existing provisions in terms of the proportion of requests satisfied, speed of supply and costs, and consider their suitability to meet present and future requirements.
34. Member States which have no national interlending policies should consider their establishment as one of the essential means of improving availability. Pilot projects should be set up with international and other assistance for the establishment of national interlending systems which would serve as models for others.
35. Each Member State should aim to make its domestic publications available to other countries as well as to its own citizens, either by loan or, within existing copyright legislation, as reprographic copies.
36. Each Member State should identify or establish a national centre or centres, possibly attached to existing institutions, to monitor outgoing and incoming international requests and to collect statistics of international lending. Such centres, where appropriate to the national situation, may also act as channels for outgoing and incoming requests. They should also be given a role in the planning, development and supervision of national and international interlending systems.

37. In order to facilitate international lending it is recommended that IFLA's principles and guidelines for international lending are used.
- (c) Recommendations addressed specifically to Unesco and IFLA requiring action singly or jointly in connection with UAP.
38. Unesco should undertake a study regarding problems relating to national imprints of recently independent Member States now found only in libraries and other institutions outside the countries of their origin. Meanwhile, Unesco should, within its programmes of assistance to Member States, assist in the identification and location of such materials as a priority action in the context of UBC and UAP.
39. A pilot project should be established in a Member State with Unesco assistance, to design and establish a national acquisitions policy and system as a model for possible application in other countries.
40. Unesco should urge Member States which have not yet ratified the Unesco conventions on the exchange of publications and the exchange of government publications to do so and set up appropriate mechanisms for the implementation of these conventions such as clearing-houses for the exchange of publications.
41. Unesco should encourage researchers to deposit copies of reports and publications arising out of research in developing countries with the national or central library of the country in which the research took place.
42. Unesco and IFLA should sponsor a study on the feasibility of establishing a microfilm bank for the provision of required copies of documents and publications.
43. Unesco, IFLA and other relevant organizations should undertake or compile case-studies to provide qualitative and quantitative data relevant to the availability of publications.
44. Unesco in co-operation with IFLA should assist countries in the planning and implementation of national library and information services by helping to determine goals and prepare guidelines, by providing expertise and by indicating possible alternatives.
45. Where conditions are appropriate, feasibility studies should be undertaken, with the support of Unesco and other relevant organizations, of the possibility of developing regional (multinational) interlending policies and systems.
46. Unesco and IFLA should continue to support relevant research, and devise appropriate means for monitoring the effectiveness of the UAP Programme.
47. Unesco and IFLA should continue to support UAP:
- (a) by making it better known through the dissemination of research findings and through publications;
 - (b) by organizing regional and national meetings designed to seek solutions applicable at these levels and by promoting their implementation;
 - (c) by endeavouring to promote the compatibility of developments in different countries;

- (d) by recognizing the important role of the world's great research libraries in preserving and supplying the vast resources and collection as part of ensuring the permanent availability of publications.

(d) Recommendations addressed to the World Book Congress

48. The congress recommended that the following recommendations be transmitted to the World Book Congress:

- (i) that a high priority be attached by governments to the development of indigenous publishing, especially in native and minority languages, to promote literacy and education and to spread information;
- (ii) that publishers, retailers and librarians where necessary establish or improve professional associations, to provide an adequate infrastructure for the development of publishing and the supply of publications; these bodies should co-operate to ensure co-ordinated development in matters of common concern;
- (iii) that educational and training programmes be devised by relevant professional associations for publishers and retailers, in particular to help retailers to become more efficient;
- (iv) that direct financial support be given by government in appropriate countries to the publishers of children's and educational books as well as scientific books;
- (v) that more efforts be made locally, possibly with the initial support of governments, to produce paper and other basic materials required for publishing at internationally competitive prices and quality, by developing technologies and machinery to make use of locally available raw materials with appropriate attention to the durable quality of the product;
- (vi) that the role of National Book Development Councils and their equivalents as effective agents of action be evaluated.

APPENDIX 5 POSTERS DISPLAYED AT PREVIOUS MEETINGS ON UAP

What follows is a sequence of posters that have been used at other meetings on UAP. The original posters in A3 format were produced very cheaply, yet by use of green, red and black inks in a variety of type faces on grey paper achieve considerable visual impact. They are included here, partly because the organizers of meetings on UAP may wish to consider supporting visual material, for which these might serve as a model, and partly because they explain in the briefest possible terms the essential aspects of UAP and may therefore aid understanding of the present work.

WHAT IS UAP?

UAP is an objective and a programme. It aims at the widest possible availability of published material to intending users wherever and whenever they need it.

- U** UNIVERSAL
the widest possible
- A** AVAILABILITY
when and where needed
- P** PUBLICATIONS
recorded knowledge issued
for public use

Availability today is far from universal.
Many publications are very hard to obtain.
Many people have no access to publications at all.

THE NEED FOR AVAILABILITY

The availability of publications is essential to support national and personal development.

In particular to support:

Literacy

Education

Research and Development

Planning and Decision Making

Leisure and Recreation

There can be few sectors of the community or individuals who do not feel some need at some time for accurate, timely and useful information.

THE NEED FOR IMPROVEMENT

- ☆ The volume of publications is growing
- ☆ Improved bibliographic control has increased awareness of the existence of publications
- ☆ Demands are growing in volume and complexity

The availability of publications demands systematic attention.

In many countries:

- ☆ Publications do not correspond to needs
- ☆ Channels for acquisition are inadequate
- ☆ Acquisition budgets are decreasing
- ☆ Interlending is seen as a marginal activity
- ☆ Discarding of material is increasing
- ☆ Conditions for preservation and conservation are inadequate

A STRUCTURED APPROACH

UAP is relevant to most aspects of librarianship.
A structured approach to improvements is needed.

UAP depends upon the efficient execution of basic functions systematically organised at the national level.

Key functions are:

Publishing

Distribution

Acquisition

Retention and conservation

Interlibrary supply

These functions are interrelated and may be performed by various institutions at various levels

RESEARCH

A major research programme was launched

- ☆ To examine the present situation
- ☆ To analyse problems
- ☆ To identify solutions

Studies have been conducted into

- ☆ Commercial book supply
- ☆ National acquisition policies
- ☆ National repository plans
- ☆ National interlending systems
- ☆ International provision and supply
- ☆ The impact of new technology

The results have been published.

NATIONAL PLANNING FOR UAP

UAP is an international objective. Its achievement demands national initiatives and acceptance of national responsibilities.

National planning requires:

Diagnosis of the existing situation

Evaluation of present policies and resources

Identification and comparison of possible solutions

Coordinating machinery

Sound plans supported by clear evidence are essential if resources are to be used to best effect

Guidelines for national planning have been published.

THE REQUIREMENTS OF A NATIONAL SYSTEM

A national system should ensure:

- ☆ Provision of all national imprints
- ☆ Provision of additional material to meet at least 70% of national needs
- ☆ Supply to remote users within three weeks
- ☆ Retention of material to meet future needs
- ☆ Access to international resources
- ☆ Minimum cost for levels of efficiency set
- ☆ Simplicity and convenience in use
- ☆ Regular monitoring of performance

Effective national systems are essential for local efficiency and international cooperation.

POSSIBLE NATIONAL SYSTEMS

Requirements may be met more or less satisfactorily by various systems.

Possible solutions include:

- ☆ Centralised responsibility
(dedicated or shared)
- ☆ Responsibility devolved to a small number of institutions (3 or 4)
- ☆ Responsibility devolved to a large number of institutions
- ☆ Reliance on existing resources and structures (union catalogues)
- ☆ Regionally based system

Dedicated centralised systems can ensure better performance, but the preferred solution will reflect local circumstances and priorities.

An analysis of the merits of each system has been published.

WHO SHOULD TAKE ACTION

GOVERNMENTS

- ☆ Provision of a policy framework, and financial and organisational support to translate policy into action

PROFESSIONAL ASSOCIATIONS

- ☆ A forum for professional commitment
- ☆ Balanced consideration of the needs of the profession
- ☆ A focal point for representations for improvement

INFORMATION PROFESSIONALS

- ☆ Assistance in the formulation of plans based on practical experience
- ☆ Translation of plans into practical action

USERS

- ☆ Articulation of demands
- ☆ A lobby for improvement